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No. 248

FINANCIAL DISCLOSURE REPORTS OF HOUSE MEMBERS
JANUARY 1–DECEMBER 31, 2001
VOLUME 1

United States Congressional Serial Set

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107th Congress, 2d Session - - - - - - - - - - - - - House Document 107–248

FINANCIAL DISCLOSURE
REPORTS
OF MEMBERS OF THE
U.S. HOUSE OF REPRESENTATIVES

FOR THE PERIOD BETWEEN

January 1, 2001 to December 31, 2001

COMMUNICATION FROM THE CLERK OF THE HOUSE

TRANSMITTING

THE ANNUAL COMPILATION OF PERSONAL FINANCIAL DISCLOSURE STATEMENTS AND AMENDMENTS THERETO FILED WITH THE CLERK OF THE HOUSE OF REPRESENTATIVES, PURSUANT TO RULE XXVII, CLAUSE 1, OF THE HOUSE RULES

(Volume 1 of 3)

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JULY 22, 2002.—Referred to the Committee on Standards of Official Conduct and ordered to be printed

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U.S. GOVERNMENT PRINTING OFFICE
80–862 WASHINGTON : 2002

LETTER OF SUBMITTAL

OFFICE OF THE CLERK,
HOUSE OF REPRESENTATIVES,
Washington, DC, July 24, 2002.

Hon. J. DENNIS HASTERT,
The Speaker, the Capitol,
House of Representatives, Washington, DC.

DEAR MR. SPEAKER: I hereby submit the annual compilation of personal financial disclosure statements filed with the Clerk of the House of Representatives pursuant to the Ethics in Government Act of 1978, as amended, 5 U.S.C. app. § 101–111 (1994), and the House Rule XXVII.

This compilation contains the personal financial disclosure statements and amendments thereto required to be filed by Members of the House pursuant to the Act and House Rule XXVII by May 15, 2002. The compilation includes reported financial transactions which occurred between January 1, 2001 and December 31, 2001.

House Rule XXVII provides that the annual compilation of reports filed with the Clerk be printed as a House document by August 1 and contain all such reports filed by Members within the period beginning January 1 and ending June 15 of each year. This compilation is submitted accordingly.

With best wishes, I am

Sincerely,

JEFF TRANDAHL,
Clerk, House of Representatives.

Enclosures.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

(5)

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NEIL ABERCROMBIE (Full Name)

1502 LONGWORTH (Mailing Address)

WASHINGTON, DC 20515

225-2726 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: HAWAII District: 1ST	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Neil Abercrombie	4.18.02

Name NEIL ABERCROMBIE

Page 1 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$8,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	STATE OF HAWAII	LEGISLATIVE PENSION	24,872.
	RESEARCH CORPORATION OF THE UNIVERSITY OF HAWAII	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name NEIL ABERCROMBIE

Page 2 of 4

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source		Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
GUINNESS UDV, NORTH AMERICA		APPEARANCE	3/8/01	$ 500.00

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Name NEIL ABERCROMBIE

Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	UNIVERSITY OF HAWAII CREDIT UNION ACCOUNTS			X												X						X										
	CO-OP APARTMENT, MAKIKI ST.				X										X						X (NET)					X (gross)						
	J. deS. ASSOCIATES																			BOOK ROYALTIES			X									

For additional assets and unearned income, use next page.

Name NEIL ABERCROMBIE | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
MARITIME TRADES - AFL-CIO		2/8 - 2/9	WASH. DC - LA - WASH. DC	Y	Y	N	N
ASPEN INSTITUTE		3/9 - 3/11	WASH. DC - W.VA - WASH. DC	Y	Y	Y	N
ROONEY GROUP INTERNATIONAL		6/3 - 6/5	HONOLULU - BOSTON - DC	Y	Y	N	N
OFFICE + PROF. EMPLOYEES UNION		6/24 - 6/25	WASH. DC - MIAMI - WASH. DC	Y	Y	N	N
UNITED TRANSPORTATION UNION		7/22 - 7/23	WASH. DC - WINNIPEG - WASH. DC	Y	Y	N	N
INTERNAT'L ASSOC. OF MACHINISTS		7/27 - 7/28	WASH. DC - SANFRAN - WASH. DC	Y	Y	N	N
PROF. AIRWAYS SYSTEMS SPECIALISTS		8/6 - 8/7	WASH. DC - MYRTLE BEACH	Y	Y	N	N
UNITED ASSOC. OF PIPEFITTERS		8/7 - 8/8	MYRTLE BEACH - MIAMI - WASH DC	Y	Y	N	N
QUAD CITY FEDERATION OF LABOR		12/14 - 12/15	WASH. DC - MOLINE - WASH. DC	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

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⑥ MC

Aníbal Acevedo-Vilá
(Full Name)

Urb. Terranova, F-13 Calle 5
Guaynabo, Puerto Rico 00969
(Mailing Address)

(202) 225-2615
Daytime Telephone:

Filer Status: ☒ Member of the U.S. House of Representatives State: P.R. District: At Large ☐ Officer or Employee Employing Office:

Report Type: ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A **$200 penalty** shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 12, 2002

Name Aníbal Acevedo-Vilá

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	BT SVCS Tennessee Inc, IBM Corporation	Distribution from Pension (Spouse)	$5,232.71

For payments to charity in lieu of honoraria, use Schedule II.

Name Aníbal Acevedo-Vilá

Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
DC	*Examples:* Simon & Schuster		Indefinite																	Royalties									X			
JT	*Examples:* 1st Bank of Paducah, KY accounts						X									X										X						
	COSVI			X																IRA						N/A						
	Oriental Trust			X																IRA						N/A						
SP	Oriental Trust			X																IRA						N/A						
	Banco Popular				X															IRA						N/A						
SP	IBM, Corp.				X															Deferred Saving Plan						N/A						
	Banco Popular			X																Savings Account						N/A						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Anibal Acevedo Vilá

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Commonwealth of Puerto Rico, Public Employees Retirement Fund				X															Retirement Fund					N/A							
	Jefferson Pilot			X																Life Ins					N/A							
	Atlantic Southern				X															Life Ins					N/A							

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Name Aníbal Acevedo-Vilá

Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Popular Leasing, Puerto Rico	Car Leasing		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Anibal Acevedo-Vilá **Page** 6 **of** 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
United States-Mexico Chamber of Commerce (Fact finding and educational visit)		Feb.18-21 2001	San Juan - Mexico City- McAllen, Texas	y	y	y	N
Chinese National Association of Industry and Commerce (Fact finding and educational visit)		May 26- June 2 2001	Washington, D.C.- Taiwan Washington, D.C.	y	y	y	N
Congressional Hispanic Caucus Institute (Meeting Board of Director)		Feb.21-23 2001	McAllen, Texas - Washington, D.C.	y	y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 11

For use by Members, officers, and employees

Gary L. Ackerman
(Full Name)

2243 Rayburn Washington, DC 20515
(Mailing Address)

202-225-2601
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District 05	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑	No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☑	No ☐
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Gary L. Ackerman	5-15-02

SCHEDULE I - EARNED INCOME

Name Gary L. Ackerman

Page 2 of 11

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Pride of Judea Mental Health Center/Jewish Board of Family and Children's Services	Spouse Compensation	N/A
Spouse Private Practice	Spouse Compensation	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Gary L. Ackerman

Page 3 of 11

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
The Connell Co., Westfield, NJ	Speech	11/26/01	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gary L. Ackerman

Page 4 of 11

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	News Communications, Inc., Common Stock	$250,001 - $500,000	CAPITAL GAINS	NONE	
	IRA--Family Management Corp.	$50,001 - $100,000	N/A	N/A	
	IRA--Nationwide	$15,001 - $50,000	N/A	N/A	
SP	IRA--Nationwide	$15,001 - $50,000	N/A	N/A	
	Fidelity Magellan	$1,001 - $15,000	CAPITAL GAINS/ DIVIDENDS	$1 - $200	
	Melrose Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gary L. Ackerman

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	ACB Publications (1/3 interest)	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Multi-Media Advertising, Inc./Flushing Tribune, Inc.	$1,001 - $15,000	(See agreements)	NONE	
	Citibank (various)	$1 - $1,000	INTEREST	$1 - $200	
	Collagenesis, Inc., stock	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Pershing/Alliance Cash	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
	Oppenheimer Main St. Income & Growth C	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	Seligman Frontier Fund, Inc/ Class D	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Eagle Building Technologies	$1,001 - $15,000	CAPITAL GAINS	NONE	P
	Diamonds Trust Unit Series I	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	S
	Sonus Networks, Inc.	$1,001 - $15.000	CAPITAL GAINS	NONE	
	SPDR Trust Unit Series I	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	S
	Calamos Market & Neutral Fund Class A	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	P
	The Internet Fund	$1,001 - $15,000	CAPITAL GAINS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Gary L. Ackerman

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	AOL Time Warner	$1,001 - $15,000	CAPITAL GAINS	NONE	
	NASDAQ 100, Shares	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Sector SPDR Technology	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	BMC Software, Inc.	$1,001 - $15,000	CAPITAL GAINS	NONE	S

SCHEDULE IV - TRANSACTIONS

Name Gary L. Ackerman

Page 7 of 11

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Calamos Market & Neutral Fund Class A	P	5/24/01	$15,001 - $50,000
	Eagle Building Technologies	P	7/26/01 & 11/7/01	$1,001 - $15,000
	BMC Software, Inc.	S	2/6/01	$1,001 - $15,000
	SPDR Trust Unit Series I	S	Various dates	$15,001 - $50,000
	Diamonds Trust Unit Series I	S	Various dates	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Gary L. Ackerman

Page 8 of 11

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Milberg Weiss Bershad Hynes & Lerach, LLP, Pension Plan	Loan secured by stock	$100,001 - $250,000
	Citibank	Checking Plus	$15,001 - $50,000
	Various credit cards: Visa, Mastercard, MBNA	Moved for rate changes	$50,001 - $100,000

SCHEDULE VI - GIFTS

Name Gary L Ackerman

Page 9 of 11

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Caesars Palace, Atlantic City	Gambling Winnings	$1,500

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Gary L. Ackerman

Page 10 of 11

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute	Jan. 12-17	NY-Grand Cayman-NY	Y	Y	Y	No
Center for Middle East Peace and Cooperation	Aug. 9-15	NY-London-Damascus-Tel Aviv-Jerusalem-Amman-Jeddah-Cairo-Tel Aviv-Ramallah-Jerusalem-Tel Aviv-NY	Y	Y	Y	No

SCHEDULE IX - AGREEMENTS

Name Gary L. Ackerman

Page 11 of 11

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
5/15/89	Tribco/Queens Tribune/Multi-Media/Michael Schenkler	Gary L. Ackerman to continue to receive proportionate share of the assets, including the accounts receivable, of the Flushing Tribune, Inc., and Multi-Media, Inc., until all assets are paid.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:08
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
ID
MC

ROBERT BROWN ADERHOLT (Full Name)

POST OFFICE BOX 323 (Mailing Address)
HALEYVILLE, AL 35565-0323

(202) 225-4876 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: Alabama District: 4th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

***A $200 penalty* shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert B. Aderholt	5/15/2002

Name ROBERT BROWN ADERHOLT

Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NAILFAST, INC.	SALARY	$ 5,200

For payments to charity in lieu of honoraria, use Schedule II.

Name ROBERT BROWN ADERHOLT Page 3 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
N/A				

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Name ROBERT BROWN ADERHOLT

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts, any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples:	SP Mega Corp. Stock					X								X										X								P
DC,		Simon & Schuster		Indefinite																	Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
		RENTAL HOUSE-1910 Graham St. Montgomery, AL					X									X										X							
		60 ACRES LAND-Hoggleridge Haleyville, AL				X															Coal Royalties	X											
		COMMERCIAL BLDG-Hwy 5 South Haleyville, AL							X							X												X					
		IRA-Traders&Farmers Bank			X												X					N/A											
		IRA-NY Life Securities, Inc.					X								X							N/A											
		IRA-New York Life Insurance			X												X					N/A											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ROBERT BROWN ADERHOLT

Page 5 of 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Beaver Dam Farm, Inc.			X																Farm Income					X							
SP	65 Acres Land-Greenbrier Farms						X													Farm Income	X											
SP	30 Acres Land (1/16 Int)-Huntsville				X												X				X											
SP	375 Acres Land (4.44% Int) Huntsville	X															X										X					S
	Congressional Fed Cred Un		X													X						X										
SP	Congressional Fed Cred Un		X													X																
	Community Bank		X													X						X										
JT	Community Bank			X												X							X									
	Traders & Farmers Bank			X												X							X									
SP	Traders & Farmers Bank			X												X							X									P
DC	Traders & Farmers Bank		X													X						X										
JT	Common Stock-Allied Signal				X									X							X											
	Common Stock-Glaxo Wellcome	X												X								X										E
	Common Stock-GlaxoSmith Kline			X										X								X										E
	Common Stock-Telefonos DeMexico		X											X								X										
	Common Stock-Prime Cash Series			X										X																		
	Common Stock-Alliance Cap.			X										X								X										
	Common Stock-H&Q Hlthcare		X											X			X						X									
	Common Stock-Ivax Corp.			X										X			X					X										
	Common Stock-VLSI Tech, Inc.			X										X							X											
JT	Common Stock-Navistar Int.			X										X							X											
JT	Common Stock-Honeywell Int				X									X										X								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ROBERT BROWN ADERHOLT

Page 6 of 10

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Common Stock-Orbitex Group	X															X									X						P, S
	Common Stock-BE Free, Inc.			X										X							X											P

This page may be copied if more space is required.

Name ROBERT BROWN ADERHOLT

Page 7 of 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	Traders & Farmers Bank (Purchased CD)	X			01-2001	X									
	Orbitex Group FDS Del (1192 SH)	X			03-27-01	X									
	Orbitex Group FDS Del (1192 SH)		X		11-19-01	X									
	BE Free, Inc. (8000 SH)	X			11-20-01	X									
	Stock Exchange - Glaxo Wellcome, PLC			X	12-31-01	X									
	Stock Exchange - GlaxoSmithKline, PLC			X	12-31-01	X									
SP	Land Sale - Huntsville, Alabama (Inherited)		X		12-31-01		X								

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Name ROBERT BROWN ADERHOLT	**Page** 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Julious Brown Estate	Mortgage on 2nd Home Montgomery, AL(not principal residence)			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name ROBERT BROWN ADERHOLT

Page 9 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Examples: Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Educational Conference - The Heritage Foundation	Jan. 4-5	Wash.,D.C.-Baltimore, MD-Wash.,D.C.	Y	Y	Y	N
Speak on healthcare issues - Health Group of Alabama	Mar. 1-5	Wash.,D.C.-Orange Beach,AL-Birmingham, AL	Y	N	Y	N
Bipartisan Congressional Retreat-The Aspen Institute	Mar. 9-11	Wash.,D.C.-White Sulphur Springs, WV-Wash.,D.C.	Y	Y	Y	N
Speak on legislation/textile industry-Alabama Textile Manufacturers Assoc.	Apr. 18-20	Huntsville,AL-Biloxi,MS-Huntsville,AL	Y	N	Y	N
Speak to Annual Conference - Alabama Peanut Producers	July 20-23	Wash.,D.C.-Panama City Beach,FL-Wash.,D.C.	Y	Y	Y	N

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Name ROBERT BROWN ADERHOLT | Page 10 of 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Employee	NAILFAST, INC.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

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LEGISLATIVE RESOURCE CENTER

(6)

2002 APR 24 PM 2:25

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

W. TODD AKIN
(Full Name)

305 CONWAY HILL RD.
ST. LOUIS, MO. 63141
(Mailing Address)

Daytime Telephone: 314 - 434 - 7948

Filer Status	☒ Member of the U.S. House of Representatives	State: MISSOURI District: 2	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	W. Todd Akin W. Todd Akin	APRIL 20, 02

Name W. TODD AKIN

Page 2 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	MERRIL LYNCH RETIREMENT ANNUITY - QUALITY EQUITY				X															ANNUITY	X											
	IRA - AIM WEINGARTEN			X										X							X											
SP	IRA - AIM WEINGARTEN			X										X							X											
JT	EASTMAN KODAK			X										X								X										
JT	CATERPILLAR			X										X								X										
JT	DU PONT			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name W. TODD AKIN

Page 3 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	GOODYEAR			X										X									X									
JT	INTERNATIONAL PAPER			X										X								X										
JT	GENERAL MOTORS			X										X								X										
JT	JP MORGAN			X										X								X										
JT	SB COMMUNICATIONS			X										X								X										
	ROTH IRA – SCUTTER DREM.			X										X								X										
SP	ROTH IRA – SCUTTER DREM.			X										X								X										
DC	ATT			X										X								X										
DC	DU PONT			X										X								X										
DC	EASTMAN KODAK			X										X									X									
DC	GOODYEAR			X										X									X									
DC	HONEYWELL			X										X								X										
DC	JP MORGAN			X										X								X										
DC	PHILLIP MORRIS			X										X									X									
DC	ATT			X										X								X										
DC	DU PONT			X										X								X										
DC	EASTMAN KODAK			X										X								X										
DC	GOODYEAR			X										X									X									
DC	HONEYWELL			X										X								X										
DC	JP MORGAN			X										X								X										
DC	PHILLIP MORRIS			X										X									X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name W. TODD AKIN

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
DC	ATT			X										X								X										
DC	DU PONT			X										X								X										
DC	EASTMAN KODAK			X										X									X									
DC	GOODYEAR			X										X									X									
DC	HONEYWELL			X										X								X										
DC	JP MORGAN			X										X								X										
DC	PHILLIP MORRIS			X										X									X									
JT	SEARS	X												X			X						X									
DC	INTERNATIONAL PAPER	X												X			X						X									
DC	INTERNATIONAL PAPER	X												X			X						X									
DC	INTERNATIONAL PAPER	X												X			X						X									

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Name W. TODD AKIN

Page 5 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	ATT		x		7-30-01	X									
JT	SEARS ROEBUCK		x		7-30-01	X									
JT	GOOD YEAR		x		7-30-01	X									
JT	GENERAL MOTORS	x			7-30-01	X									
JT	EASTMAN KODAK	x			7-30-01	X									
JT	CATERPILLAR	x			7-30-01	X									
JT	DU PONTE	x			7-30-01	X									
JT	INTERNATIONAL PAPER	x			7-30-01	X									
JT	J P MORGAN CHASE	x			7-30-01	X									
JT	S.B.C. COMMUNICATIONS	x			7-30-01	X									
DC	CATERPILLAR		x		10-22-01	X									
DC	INTERNATIONAL PAPER		x		10-22-01	X									
DC	PHILLIP MORRIS		x		3-30-01	X									
DC	DU PONT	x			10-22-01	X									
DC	HONEYWELL	x			10-22-01	X									
DC	J.P. MORGAN	x			3-30-01 10-22-01	X X									

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Name W. TODD AKIN | Page 6 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
DC	CATERPILLAR		X		10-22-01	X									
DC	GOODYEAR		X		7-30-01	X									
DC	INTERNATIONAL PAPER		X		10-22-01	X									
DC	PHILLIP MORRIS		X		3-30-01	X									
DC	DU PONTE	X			10-22-01	X									
DC	HONEYWELL	X			10-22-01	X									
DC	JP MORGAN	X			3-30-01 10-22-01	X X									
DC	CATERPILLAR		X		10-22-01	X									
DC	INTERNATIONAL PAPER		X		10-22-01	X									
DC	GOOD YEAR		X		7-31-01	X									
DC	PHILLIP MORRIS		X		3-30-01	X									
DC	DU PONTE	X			10-22-01	X									
DC	HONEYWELL	X			10-22-01	X									
DC	JP MORGAN	X			10-22-01 3-20-01	X X									

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:05 ⑥
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

THOMAS H. ALLEN (Full Name)
17 FAIRMOUNT ST (Mailing Address)
PORTLAND ME 04103
Daytime Telephone: 202 225-6116

Filer Status ☒ Member of the U.S. House of Representatives State: ME District: 1 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas H. Allen	5/15/02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name THOMAS H. ALLEN

Page 2 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	AMER. NEW ECONOMY FD			X																						X						
	AMER. MUTUAL FUND		X																				X									
	OPPENHEIMER MID CAP FD			X																						X						
	MAINE ST. BD '02			X												X							X									
	245 COMMERCIAL ST PORTLAND ME (A 5.897% INTEREST)														X														X			

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name THOMAS H. ALLEN

Page 3 of 6

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset											BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	DRUMMOND WOODSUM PS+TRUST w/ UMB BANK OF KANSAS CITY MO							X								N/A							N/A									
	ICMA RETIRE. CORP			X												N/A							N/A									

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Name THOMAS H. ALLEN

Page 4 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

			Type of Transaction			Date	Amount of Transaction									
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset															
SP	*Example:*	Mega Corporation Common Stock	X			10–12–01		X								
	AIM SMALL CAP FUND			X		3/19/01		X								

This page may be copied if more space is required.

Name THOMAS H. ALLEN Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	FLEET BANK OF MAINE	MORTGAGE ON 245 COMMERCIAL ST, PORTLAND ME (5.897% SHARE)				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name THOMAS H. ALLEN

Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
ASPEN INSTITUTE		5/29 - 6/3/01	BOSTON - FLORENCE ITALY - BOSTON	Y	Y	Y	2 DAYS

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of 5

Robert E. Andrews
(Full Name)

215 Fourth Avenue Haddon Heights, NJ 08035
(Mailing Address)

866-546-5100
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: NJ District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert E Andrews	5/14/02

SCHEDULE I - EARNED INCOME

Name Robert E. Andrews

Page 2 of 5

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Rutgers Law School - Camden	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Robert E. Andrews

Page 3 of 5

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
The Connel Company	Speech	July 6, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert E. Andrews

Page 4 of 5

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Olive B. Andrews Testamentary Trust (50%) remainder interest in Life Estate) Note: This trust was not created by the reporting individual and the reporting individual has no specific knowledge of the holdings of the trust	$15,001 - $50,000	EXCEPTED TRUST	NONE	
JT	Mellon Bank Checking Account	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	PNC National Bank Checking	$100,001 - $250,000	INTEREST	$201 - $1,000	
SP	Stock - GTE	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Robert E. Andrews

Page 5 of 5

SP	Stock - Connectiv	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	Dean Witter Money Market Fund	$15,001 - $50,000	INTEREST	$201 - $1,000	
JT	Morgan Stanley Dean Witter Money Market Fund	$15,001 - $50,000	INTEREST	$1,001 - $2,500	

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 5
For use by Members, officers, and employees

Richard K. Armey
(Full Name)

H-329 The Capitol Washington, DC 20515
(Mailing Address)

202-225-4000
Daytime Telephone:

Filer Status ☑ Member of the U.S. House of Representatives State: TX District: 26 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Dick Armey	5·15·02

SCHEDULE I - EARNED INCOME

Name Richard K. Armey

Page 2 of 5

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Southern Methodist University	Approved Teaching Fee	$20,000
Teacher's Insurance and Annuity Association	Teacher's Retirement	$3,012
Providence Entertainment Spouse Salary	Board Member	NA

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Richard K. Armey

Page 3 of 5

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
International Mass Retail Association	Speech	May 19, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Richard K. Armey

Page 4 of 5

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** if other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Teacher's Insurance and Annuity Association	defined benefit plan		N/A	

SCHEDULE V - LIABILITIES

Name Richard K. Armey

Page 5 of 5

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Wells Fargo	Line of Credit	$15,001 - $50,000

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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(4)

MC

JOE BACA (Full Name)

1850 N. MAGNOLIA
RIALTO, CA 92376 (Mailing Address)

909-225-6161 Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: CA District: 42ND	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A **$200 *penalty*** **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (*Month, Day, Year*)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joe Baca	5-14-02

Name JOE BACA

Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	RIALTO UNIFIED SCHOOL DISTRICT	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOE BACA

Page 3 of 4

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT			Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	I $1 – $200	II $201 – $1,000	III $1,001 – $2,500	IV $2,501 – $5,000	V $5,001 – $15,000	VI $15,001 – $50,000	VII $50,001 – $100,000	VIII $100,001 – $1,000,000	IX $1,000,001 – $5,000,000	X Over $5,000,000	P, S, E
SP,	Examples:	SP	Mega Corp. Stock					X								X										X								P
DC,			Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
	GTE (VERIZON)					X										X									X									
	FERS/RETIREMENT SYSTEM				X																	PENSION			N/A									
	STRS/STATE RET. TEACHERS					X																PENSION			N/A									
	AMERICAN NAT'L INS. CO.					X																IRA			N/A									

For additional assets and unearned income, use next page.

Name JOE BACA | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NAT'L ASSOC. OF MINORITY AUTO DEALERS	JAN. 26, 02	LOSANGELES - NEW ORLEANS	N	N	N	1 DAY

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:42
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

MC (12)

Spencer T. Bachus, III
(Full Name)

442 Cannon Building, Washington, DC 20515
(Mailing Address)

202-225-4921
(Daytime Telephone)

Filer Status ☒ Member of the U.S. House of Representatives State: Alabama District: 06 ☐ Officer or Employee Employing Office:

Report Type [✓ ☒ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15, 2002

Name Spencer T. Bachus, III	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples.	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	The Cancer Research Foundation	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Spencer T. Bachus, III

Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	National Association of Realtors, Chicago, IL for Kings Ranch, Chelsea, Alabama	Speech	May 17, 2001	$2,500.00
	Honda North America, Inc., Washington, DC for Family Connections Youth Shelter, Shelby County, Alabama	Speech	July 18, 2001	$1,000.00

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Name Spencer T. Bachus, III

Page 1 of ___

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
SP	Fidelity Cash Reserve			X										X		X						X										
SP	AmSouth Bank			X												X						X										
	Regions Bank			X												X						X										
	Southern Company			X										X								X										
	Paine Webber		X											X								X										
SP	Congressional Fed. Cr.Union		X													X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Spencer T. Bachus, III

Page 2 of 3

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Smith Barney Money Funds				X									X										X								
SP	Colonial Pptys. Trust			X										X			X						X									
SP	Agrium Inc. Pfd.					X										X										X						
SP	Public Storage Inc. Pfd.	X												X			X								X							S
SP	TCI Comm. Inc. Pfd.				X											X									X							
SP	Textron Capital Pfd.				X											X									X							
SP	Sm Barney Govt Fund					X								X											X							
SP	Sm Barney Hi Inc. Fund				X									X											X							
SP	Sm Barney Div Stk Fund						X							X												X						
SP	Bankers Trust NY Sub Notes					X										X									X							
SP	Bank Am Corp Sub Notes					X										X									X							
SP	Solomon Inc Med Term Notes					X										X										X						
SP	General Motors Notes					X										X									X							
SP	PFL Endeavor NIT						X									X					X											
SP	Citibank NA					X										X							X									
SP	Southwood Properties					X									X											X						
	4821 12th Ave N, Bham,AL					X									X										X							
	2025 16th Druid Hills, "					X									X										X							
	3939 28th Pl N, Bham, AL					X									X										X							
	2351 Rocky Ridge Rd, "					X									X											X						
	Enron Corp.	X														X	X					X										P,S
	Call Feb 55 Anadasko Pete	X															X						X									P,S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Spencer T. Bachus, III

Page 3 **of** 3

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Call Nov 65 Anadarko Pete	X															X								X							P,S
	Call Oct 45 Apache Corp	X															X							X								P,S
	Put Mar 55 Coca Cola	X															X							X								P,S
	Call Jul 25 Ford Mtr Co	X															X						X									P,S
	Put Feb 65 Nasdaq 100 Tr	X															X							X								P,S
	Call Apr 39 Nasdaq 100 Tr	X															X									X						P,S
	Call Apr 45 Nasdaq 100 Tr	X															X								X							P,S
	Call Jun 47 Nasdaq 100 Tr	X															X							X								P,S
	Call Jun 23 Nasdaq 100 Tr	X															X							X								P,S
	Call Jul 47 Nasdaq 100 Tr	X															X						X									P,S
	Put Jul 43 Nasdaq 100 Tr	X															X							X								P,S
	Put Dec 42 Nasdaq 100 Tr	X															X					X										P,S
	Call Mar 50 Nasdaq 100 Tr	X															X								X							P,S
	Call Feb 55 Phillips Petro	X															X						X									P,S
	Put Jul 1210 New S&P 500	X															X							X								P,S
	Put Nov 20 UAL Corp Com	X															X							X								P,S

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Name Spencer T. Bachus, III

Page 1 of 3

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Enron Corp	X	X		11/30/01 12/13/01	X									
	Call AOL Time Warner, Inc.	X	X		08/29/01 09/25/01	X									
	Call Feb 55 Anadarko Pete Corp	X	X		1/30/01 2/5/01	X									
	Call Oct 60 Anadarko Pete Corp	X	X		9/24/01 10/11/01	X									
	Call Nov 65 Anadarko Pete Corp	X	X		Various 10/11/01	X									
	Call Oct 45 Apache Corp	X	X		9/28/01 10/10/01	X									
	Put New S&P 500 Index Nov 11	X	X		11/15/01 11/20/01	X									
	Put Feb 50 Coca Cola Co	X	X		1/23/01 2/21/01	X									
	Put Feb 60 Coca Cola Co	X	X		1/26/01 2/15/01	X									
	Put Mar 55 Coca Cola Co	X	X		2/05/01 2/21/01	X									
	Put Aug 45 Coca Cola Co	X	X		Various 8/21/01	X									
	Put Sept 45 Coca Cola Co	X	X		8/23/01 9/25/01	X									
	Put Nov 45 Coca Cola Co	X	X		Various 11/20/01	X									
	Put Nov 50 Coca Cola Co	X	X		11/15/01 11/20/01	X									
	Put Dec 45 Coca Cola Co	X	X		Various 12/24/01	X									
	Call Jul 25 Ford Mtr Co Del	X	X		6/29/01 7/11/01	X									

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SCHEDULE IV — TRANSACTIONS

Name Spencer T. Bachus,III

Page 2 of 2

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Call Jul 27 Ford Motor Co Del	X	X		6/29/01 7/24/01	X									
	Put Jan 63 Nasdaq 100 Tr	X	X		1/17/01 1/23/01	X									
	Put Feb 65 Nasdaq 100 Tr	X	X		1/23/01 1/25/01	X									
	Call Apr 55 Nasdaq 100 Tr	X	X		Various 4/24/01	X									
	Call Apr 39 Nasdaq 100 Tr	X	X		4/04/01 4/10/01	X									
	Call Apr 45 Nasdaq 100 Tr	X	X		3/29/01 4/19/01	X									
	Call Jun 18 Nasdaq 100 Tr	X	X		6/14/01 6/19/01	X									
	Call Jun 21 Nasdaq 100 Tr	X	X		6/12/01 6/16/01	X									
	Call Jun 47 Nasdaq 100 Tr	X	X		6/12/01 6/13/01	X									
	Call Jun 23 Nasdaq 100 Tr	X	X		6/01/01 6/07/01	X									
	Call Jun 51 Nasdaq 100 Tr	X	X		Various	X									
	Call Jul 47 Nasdaq 100 Tr	X	X		6/18/01 6/28/01	X									
	Call Sep 33 Nasdaq 100 Tr	X	X		9/18/01 9/25/01	X									
	Call Oct 37 Nasdaq 100 Tr	X	X		9/20/01 10/23/01	X									
	Put Jul 43 Nasdaq 100 Tr	X	X		6/29/01 7/06/01	X									
	Put Nov 33 Nasdaq 100 Tr	X	X		10/23/01 11/20/01	X									

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SCHEDULE IV — TRANSACTIONS

Name Spencer T. Bachus, III

Page 3 **of** 3

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Put Nasdaq 100 TR	X	X		11/15/02 11/20/01	X									
	Put Dec 42 Nasdaq 100 Tr	X	X		12/5/01 12/13/01	X									
	Call (OAV) Nasdaq 100 Tr	X	X		Various	X									
	Call Mar 50 Nasdaq 100 Tr	X	X		Various 2/26/01	X									
	Call Apr 50 Nasdaq 100 Tr	X	X		3/29/01 4/24/01	X									
	Call Sep 30 Nasdaq 100 Tr	X	X		9/20/01 9/25/01	X									
	Put (Leap 2004)(LR) Nasdaq 100 Tr	X	X		1/11/01 1/23/01	X									
	Call Feb 55 Phillips Petroleum	X	X		1/10/01 1/17/01	X									
	Put May 635 S&P 100Index	X	X		Various	X									
	Put May 645 S&P 100 Index	X	X		5/2/01 5/22/01	X									
	Put Jul 1201 New S&P 500 Index	X	X		7/16/01 7/16/01	X									
	Call Sep 15 Southwest Airlines Co	X	X		Various 9/25/01	X									
	Put Nov 20 UAL Corp Com Par	X	X		10/11/01 10/17/01	X									
SP	Public Storage Inc	X	X		10/5/01		X								

This page may be copied if more space is required.

Name Spencer T. Bachus, III

Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Compass Bank, Birmingham, AL	Mortgage on Rental Propties			X							
	Compass Bank, Birmingham, AL	Mortgage on 2351 Rocky Ridge Road, Birmingham, AL				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	N/A	

Use additional sheets if more space is required.

Name Spencer T. Bachus, III	Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	BiPartisan Congressional Retrt	3/9-11/01	DC-White Sulphur Springs-DC	Y	Y	Y	N

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Name Spencer T. Bachus, III	**Page** 1 **of** 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	N/A

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 8
For use by Members, officers, and employees

Brian N. Baird
(Full Name)

1721 Longworth House Office Building Washington, DC 20515
(Mailing Address)

(202) 225-3536
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: WA District: 03	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		05/15/02

SCHEDULE I - EARNED INCOME

Name Brian N. Baird

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
National Institute of Health	Spouse Salary	$64,698

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Brian N. Baird

Page 3 of 8

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
American Psychological Association	Speech	Aug. 28, 2001	$589

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Brian N. Baird

Page 4 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Hartford - HAFCX	$1,001 - $15,000	DIVIDENDS	NONE	Inherited
	Davis - NYVCX	$1,001 - $15,000	DIVIDENDS	NONE	inherited
	AIMFDS Group FD,CL, L	$1,001 - $15,000	DIVIDENDS	NONE	Inherited
	First Union Money Market	$1,001 - $15,000	DIVIDENDS	$1 - $200	Inherited
SP	TIAA Creft (retirement fund)	$50,001 - $100,000	DIVIDENDS	NONE	
JT	Apartment - 508 Seward Square, Washington, D.C.	$100,001 - $250,000	RENT	$5,001 - $15,000	P(House)

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Brian N. Baird

Page 5 of 8

SP	IRA - Self Directed (Wells Fargo)	$100,001 - $250,000	DIVIDENDS	$1 - $200	
SP	Hewlett Packard Stock	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Microsoft	$100,001 - $250,000	DIVIDENDS	NONE	
SP	Salmon Beach 82 (House) Tacoma, WA	$100,001 - $250,000	RENT	$5,001 - $15,000	
	Morgan Stanley Dean Witter High Tech	$1,001 - $15,000	DIVIDENDS	NONE	
	Morgan Stanley Dean Witter Liquid Asset	$1 - $1,000	DIVIDENDS	$1 - $200	
	Congressional Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Morgan Stanley Dean Witter C	$1,001 - $15,000	DIVIDENDS	NONE	
	Morgan Stanley Index B	$15,001 - $50,000	DIVIDENDS	NONE	
	1st Independent Bank	$1,001 - $15,000	INTEREST	$1 - $200	
	TIAA Creft	$50,001 - $100,000	N/A	N/A	
	Prentice Hall (Pearson)	Indefinite	Royalties	$15,001 - $50,000	

SCHEDULE IV - TRANSACTIONS

Name Brian N. Baird

Page 6 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	United Nations Pension Fund	S	1-23-01	$15,001 - $50,000
	Morgan Stanley Index B	S	3-13-01	$15,001 - $50,000
	MSDW C	S	2-6-01	$1,001 - $15,000
	MSDW Liquid Assets	S	3-16-01	$15,001 - $50,000
	MSDW High Tech	S	2-26-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Brian N. Baird

Page 7 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Contract Service Center, Tacoma Washington	Mortgage on 82 Salmon Beach, Tacoma, WA.	$50,001 - $100,000
SP	Wells Fargo - Tacoma, Wa.	Loan on Brokerage Account	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Brian N. Baird

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
DTT, Bonn Germany	Oct. 9-13	Wash., D.C. --Bonn --Wash., D.C.	Y	N	N	N/A
APA Conference - San Fran., Ca.	Aug. 25-26	Portland, Or. - San Fran., Ca. - Portland, Or.	Y	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001	FORM A For use by Members, officers, and employees

Richard H. Baker
(Full Name)

341 Cannon House Office Building
(Mailing Address)

Washington, DC 20515

Daytime Telephone: 202-225-3901

Filer Status	☒ Member of the U.S. House of Representatives	State: Louisiana District: 06th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

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(Office Use Only)

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	RHBaker	5/3/02

Name Richard H. Baker

Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
K's Louisiana Market	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Richard H. Baker

Page 3 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	LPB Minerals	X																			X											
	Glacier Technology		X																		X											
SP	K's Louisiana Market						X																									
	Scenic Investments				X																X											

For additional assets and unearned income, use next page.

Name Richard H. Baker

Page 4 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Hancock Bank, Baton Rouge, Louisiana	Commercial Loan		X								
	MBNA	Business Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Richard H. Baker **Page** 5 **of** 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	LPB Minerals (uncompensated) - Partnership Dissolved
Partner	Scenic Investments (uncompensated)

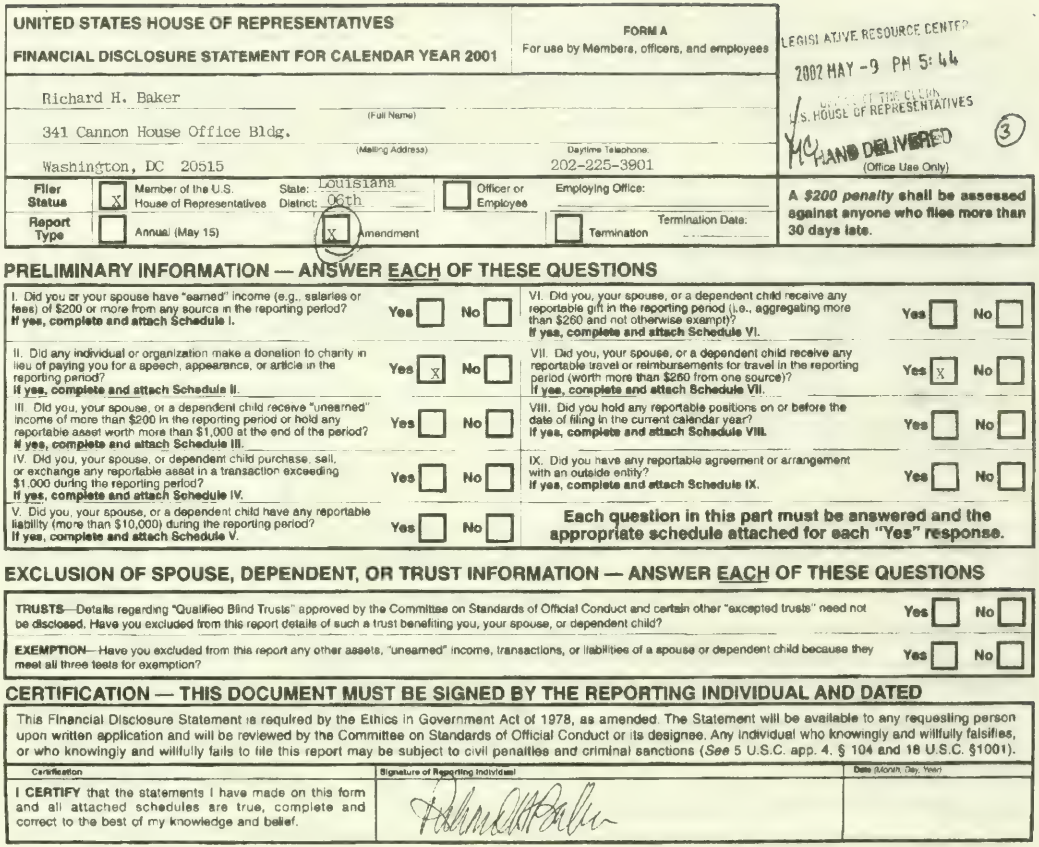
SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO. 2002 77-791 (mac)

Use additional sheets if more space is required.



UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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Richard H. Baker
(Full Name)

341 Cannon House Office Bldg.
Washington, DC 20515
(Mailing Address)

Daytime Telephone: 202-225-3901

Filer Status	☒ Member of the U.S. House of Representatives	State: Louisiana District: 06th	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☒ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☐
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☐

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		

Name Richard H. Baker **Page** 2 **of** 3

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	American Bankers Association	Speech	March 1, 2001	$1,000

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Name Richard H. Baker	**Page** 3 **of** 3

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	SIA	April 19-22	Baton Rouge,LA - Ft. Laud, FL	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

John Elias Baldacci
(Full Name)

79 Palm Street
Bangor, Maine 04401
(Mailing Address)

(207) 947-6088
Daytime Telephone:

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U.S. HOUSE OF REPRESENTATIVES
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Filer Status	☒ Member of the U.S. House of Representatives — State: Maine District: 2	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☒ **No** ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐ **No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐ **No** ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☐ **No** ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒ **No** ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☐ **No** ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☐ **No** ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐ **No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐ **No** ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐ **No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐ **No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J Baldacci	April 19, 2002

Name John Elias Baldacci

Page 1 of 3

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	City of Bangor	Spouse Salary	N/A
	73 Harlow Street Bangor, Maine 04401		

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name John Elias Baldacci

Page 2 **of** 3

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
DC	*Examples:* Simon & Schuster		Indefinite																	Royalties									X			
JT	*Examples:* 1st Bank of Paducah, KY accounts						X									X										X						
	Bangor Savings Bank PO Box 930 Bangor, Maine 04402 (savings)			x												x								x								
JT	Key Bank of Maine PO Box 429 Augusta, Maine 04330 (cd)			x												x							x									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name John Elias Baldacci

Page 3 of 3

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Cong. Fed. Credit Union PO Box 23267 Washington, DC 20026 (money market)						x									x									x							
	Northern New England Law Publishers, Inc. PO Box 38 Naples, Maine 04055 (stock)			x										x										x								
SP	ICMA Retirement Trust 777 N. Capitol Street NE Washington, DC 20002					x										x							x									
SP	Travelers Insurance Annuity Services One Tower Square Hartfor, CT 06183			x												x							x									
	Maine State Retirement System Augusta, ME 04330			x												x							x									
SP	Maine State Retirement System Augusta, ME 04330			x												x							x									

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Tammy Suzanne Green Baldwin (Full Name)
10 E Doty Street, Suite 405
Madison, WI 53703 (Mailing Address)

Daytime Telephone: 202 225-2906

Filer Status ☒ Member of the U.S. House of Representatives State: WI District: 02 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☒ No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☒ No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tammy Baldwin	5/15/02

Name Tammy Baldwin | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State State of Maryland Civil War Roundtable (Oct. 2nd) Ontario County Board of Education	Approved Teaching Fee Legislative Pension Spouse Speech Spouse Salary	$6,000 $9,000 $1,000 NA
	None		

For payments to charity in lieu of honoraria, use Schedule II.

Name Tammy Baldwin Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
None				

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Tammy Baldwin

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B A	B	C	D	E	F	G	H	I	J	K	L	BLOCK C							BLOCK D I	II	III	IV	V	VI	VII	VIII	IX	X	XI	BLOCK E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster	Indefinite																		Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	D Green Irrevocable Trust for Tammy Baldwin:																									X						
	1) Firstar Equity Growth Fund A				X									X		X																
	2) Firstar Special Growth Fund B				X									X		X																
	3) Firstar US Government Bond Fund					X										X																
	4) Firstar Money Market			X												X																
	5) Firstar Growth and Income Fund				X									X		X																

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Tammy Baldwin

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Wisconsin Retirement System			X																	NA											
JT	Rental Property: 909 Spaight St Madison, WI							X							X										X							
JT	Vanguard Money Market Acct			X										X												X						
	Firstar Money Market Acct	X												X		X										X						Acct. closed during period
	Baird Money Market Acct				X									X											X							
	Exxon Mobil Stock					X								X										X								
	Qualified Blind Trust							X											X			X										Created during period
JT	Home Savings Checking Acct			X												X						X										
	Summit Credit Union Checking Acct			X												X						X										

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SCHEDULE IV — TRANSACTIONS

Name Tammy Baldwin

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	D. Green Irrevocable Trust for Tammy Baldwin:														
	1) Money Market Fund		X		4/11/01	X									
	2) Money Market Fund	X			4/12/01	X									
	3) Money Market Fund		X		4/16/01	X									
	Firstar Money Market Account	X			4/12/01	X									
	Firstar Money Market Account	X			5/2/01	X									
	Firstar Money Market Account	X			5/15/01	X									
	Firstar Money Market Account	X			6/4/01	X									
	Firstar Money Market Account	X			7/3/01	X									
	Firstar Money Market Account		X		4/20/01	X									
	Firstar Money Market Account		X		8/14/01		X								

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Name Tammy Baldwin

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	M&I Bank of Madison, WI	Mortgage on 809 Spaight St. Madison WI rental property					X					
JT	M&I Bank of Madison, WI	Mortgage on 809 Spaight St Madison WI rental property (2nd mortgage)				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
Lauren Azar, Madison, WI Domestic Partner of Member	Clothing, meals, books	≈ 450.00 in the aggregate

Use additional sheets if more space is required.

Name Tammy Baldwin | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Commonwealth Fund for the JFK School of Gov't Harvard Health Policy Seminar		Jan. 11-14	Madison, WI — Ft. Lauderdale, FL — Madison, WI	Y	Y	N	N
Aspen Institute 2001 Bipartisan Congressional Retreat		Mar 9-11	Washington DC — Greenbrier Valley WV — Washington DC	Y	Y	N	N

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Name Tammy Baldwin **Page** 9 **of** 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Wisconsin Citizen Action
Board Member	US Action

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO: 2002 77-791 (nas)

Use additional sheets if more space is required.

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 2:29
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

34

MC

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 23
For use by Members, officers, and employees

THOMAS CASS BALLENGER
(Full Name)

867 20TH AVENUE DRIVE, NW HICKORY, NC 28601
(Mailing Address)

(202)225-2576
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: NC District: 10	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	T. Cass Ballenger	5/13/02

SCHEDULE I - EARNED INCOME

Name THOMAS CASS BALLENGER

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List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
PLASTIC PACKAGING, INC. - FAMILY BUSINESS	SALARY EXEMPT FROM RULE XLVII	$20,000
PLASTIC PACKAGING, INC. - SPOUSE SALARY	SPOUSE SALARY	N/A
LEGISLATIVE RETIREMENT SYSTEM OF NC	PENSION	$4,661
PLASTIC PACKAGING, INC.	SPLIT DOLLAR LIFE INS. BENEFIT EXEMPT	$2,777

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income) RENT% = Royalty Income	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	RENTAL HOUSE, 12TH AVENUE	$50,001 - $100,000	RENT	$2,501 - $5,000	
JT	WASHINGTON APT., 450 JERSEY AVE.	$250,001 - $500,000	RENT	$5,001 - $15,000	
	TROUSDALE #415-O WELL	$1,001 - $15,000	RENT-%	$201 - $1,000	
	NORTON/TAYLOR #0415-Q WELL	$1,001 - $15,000	RENT-%	$201 - $1,000	
	GLENDALE #0415-T WELL	$1,001 - $15,000	RENT-%	NONE	
	HEINE #1-H 0415NW	$1,001 - $15,000	RENT-%	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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	HEINE PROSPECT #0415-W WELL	$1,001 - $15,000	RENT-%	$1 - $200	
	SCARMARDO PROSPECT #10H WELL	$1,001 - $15,000	RENT-%	$201 - $1,000	
	RUNNING DUKE NO. 1-H WELL	$1,001 - $15,000	RENT-%	NONE	
	TRAWEEK PROSPECT #1-H WELL	$1,001 - $15,000	RENT-%	NONE	
	WALTON WELL #1	$1,001 - $15,000	RENT-%	NONE	
	COMPTON 53 PROSPECT #1 WELL	$1,001 - $15,000	RENT-%	NONE	P
	VICI PROSPECT	$1,001 - $15,000	RENT-%	NONE	P
	BB&T CORPORATION	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	MOTOROLA INC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	TEXTRON INCORPORATED	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	TYCO INTERNATIONAL LIMITED (NEW)	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	WACHOVIA CORPORATION	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	S
	BANK OF AMERICA CORPORATION	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	COMMSCOPE INCORPORATED	$15,001 - $50,000	DIVIDENDS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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	GENERAL ELECTRIC COMPANY	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	JOHNSON & JOHNSON INCORPORATED	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	LUCENT TECHNOLOGIES INCORPORATED	None	DIVIDENDS	$1 - $200	PS
	PFIZER INCORPORATED	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	S
	PROCTOR & GAMBLE COMPANY	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	SCHERING PLOUGH CORPORATION	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	DU PONT E I DC NEMOURS & CO.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	DUKE ENERGY CORPORATION	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	EXXON MOBIL CORPORATION	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	MINNESOTA MINING & MANUFACTURING	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	TEXACO INCORPORATED	None	DIVIDENDS	$201 - $1,000	MERGED WITH CHEVRON CORPORATION
	UNITED TECHNOLOGIES CORPORATION	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	ALCATEL AMERICAN DEPOSITORY RECEIPTS	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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	VERIZON COMMUNICATIONS	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	ROYAL DUTCH PETROLEUM CO.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	SPIEKER PROPERTIES INCORPORATED	None	CAPITAL GAINS AND DIVIDENDS	$201 - $1,000	MERGED WITH EQUITY OFFICE PROPERTIES TRUST
	HALLIBURTON COMPANY	None	DIVIDENDS	$1 - $200	S
	INTEL CORPORATION	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	TIMKEN COMPANY	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	ALLIANCE PREMIER GROWTH FD CL A	$1,001 - $15,000	DIVIDENDS	NONE	
	CASH ACCOUNT	$15,001 - $50,000	DIVIDENDS	NONE	
	ANHEUSER BUSCH COMPANIES, INC.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	SIEBEL SYSTEMS INCORPORATED	$1,001 - $15,000	DIVIDENDS	NONE	
	HERITAGE CASH TRUST MM FUND	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	AGILENT TECHNOLOGIES, INC.	None	DIVIDENDS	NONE	PS
	CISCO SYSTEMS INCORPORATED	$1,001 - $15,000	DIVIDENDS	NONE	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

	CORNING INCORPORATED	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
	RAYMOND JAMES FINANCIAL INCORPORATED	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	SOLECTRON CORPORATION	None	DIVIDENDS	NONE	S
	CHEVRONTEXACO CORPORATION	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	EQUITY OFFICE PROPERTIES TRUST	$1,001 - $15,000	CAPITAL GAINS AND DIVIDENDS	$201 - $1,000	
	GOODYEAR TIRE & RUBBER COMPANY	None	DIVIDENDS	NONE	PS
	CONAGRA FOODS INCORPORATED	$1,001 - $15,000	DIVIDENDS	NONE	P
	ELECTRONIC DATA SYSTEMS	$1,001 - $15,000	DIVIDENDS	NONE	P
	GOODRICH CORPORATION	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	ALCATEL	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	ARCHER DANIELS MIDLAND	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
SP	BANKAMERICA CORP NEW	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	BB&T CORP	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	BANK OF GRANITE	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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SP	BRAZIL FUND	$1,001 - $15,000	CAPITAL GAINS AND DIVIDENDS	$201 - $1,000	
SP	DIAMOND OFFSHORE DRILLING INC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	JEFFERSON PILOT CORP.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	MOTOROLA, INC.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	NCR CORPORATION	$1 - $1,000	DIVIDENDS	NONE	
SP	PEPSICO, INC.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	PIEDMONT NATURAL GAS, INC.	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	SCHERING PLOUGH CORP	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	SEALED AIR CP NEW	$15,001 - $50,000	DIVIDENDS	NONE	
SP	TEXTRON, INC.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	TIMKEN COMPANY	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	TRICON GLOBAL REST, INC.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	WENDY'S INTL	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	WILLIAMS CO., INC.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

SP	SEALED AIR SERIES A	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	DW ACTIVE ASSETS MONEY TRUST	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
SP	FORSYTH CNTY NC LAW 4.75% BOND	None	INTEREST	$201 - $1,000	S
SP	NC MUNI POWER AGY 4.9% BOND	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	MECKLENBURG CNTY 5.75% BOND	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
SP	MOORE CNTY NC GEN 4.75% BOND	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	CHARLOTTE NC GEN 5.5% BOND	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
SP	NC MUN POWER AGY - 1 4.1% BOND	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
SP	FAYETTEVILLE NC PUB WKS 4.6% BOND	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	CABARRUS CNTY NC GEN 4.5% BOND	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	MANATEE CNTY FL WATER 9.3% BOND	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	DURHAM CNTY NC GEN 5.2% BOND	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
SP	CHARLOTTE NC PUB IMPRV. 5.3% BOND	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	MOUNT AIRY NC GEN 4.9% BOND	$15,001 - $50,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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SP	NC MED CARE COMM 5% BOND	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
SP	NC MED CARE COM 5.5% BOND	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	FORSYTH CO NC CTFS 5% BOND	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
SP	US TREAS. NOTE 9.125%	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	GNMA POOL 8% BOND	$1,001 - $15,000	INTEREST	$1 - $200	RETURN OF PRINCIPAL< 1,000
SP	AIM LAT AMERICAN GRWTH A	None	DIVIDENDS	$201 - $1,000	MERGED WITH AIM DEVELOPING MKTS A
SP	UNIT NUVEEN NATL LT 108 SPS	$1,001 - $15,000	INTEREST	$1 - $200	RETURN OF PRINCIPAL <1,000
SP	UNIT NUVEEN NATL LT 183 QPS	None	INTEREST	$1 - $200	S<1,000
SP	UNIT KEMPER TAX EX INCOME TRUST	$1,001 - $15,000	INTEREST	$201 - $1,000	RETURN OF PRINCIPAL <1,000
SP	UNIT GSIF GOVT US TRSY 1 MPS	$1,001 - $15,000	INTEREST	$201 - $1,000	RETURN OF PRINCIPAL ,1,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

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SP	COMMSCOPE, INC.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	CORNING, INC.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	MINNESOTA MINING & MFG CO.F	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	PHOENIX SENECA STRAT THEME A	$15,001 - $50,000	DIVIDENDS	$1 - $200	P<1,000
SP	ADOBE SYSTEMS	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	AIM DEVELOPING MKTS A	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	MERGED WITH AIM LAT AMERICAN GROWTH A
SP	GENUINE PARTS CO	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	INTEL CORPORATION	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	WORLDCOM GA NEW	$1 - $1,000	DIVIDENDS	$1 - $200	SPINOFF OF WORLDCOM INC
SP	AOL TIME WARNER	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	GOODRICH CORPORATION	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	PIERRE FOODS	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

SP	WILLIAMS COMM GROUP INC	$1,001 - $15,000	DIVIDENDS	NONE	SPINOFF OF WILLIAMS CO INC
SP	WORLDCOM INC	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	PAINE WEBBER (JC BRADFORD) IRA	$50,001 - $100,000	N/A	N/A	
SP	OAK PLANTATION K-1	$1 - $1,000	PARTNERSHIP - N/A	$1 - $200	
	OAK PLANTATION K-1	$1 - $1,000	PARTNERSHIP - N/A	$1 - $200	
	AAI / FOREST HILLS	None	PARTNERSHIP - N/A	$1 - $200	
	AAI / FOUR SEASONS	None	PARTNERSHIP - N/A	$201 - $1,000	
	DYCO OIL & GAS 1992-1, 1983-1, 1981-2, 1984-1	$1 - $1,000	PARTNERSHIP - N/A	$201 - $1,000	
	MCNEIL REAL ESTATE K-1	$1 - $1,000	PARTNERSHIP - N/A	NONE	S
	T.C. BALLENGER/EHS UNITRUST	None	CHARITABLE UNITRUST - N/A	$2,501 - $5,000	
SP	GREAT WEST FUELS #2, LLC	$1 - $1,000	PARTNERSHIP - N/A	$1 - $200	
	GREAT WEST FUELS #2, LLC	$1 - $1,000	PARTNERSHIP - N/A	$1 - $200	
	GREAT WEST FUELS #1, LLC	$1 - $1,000	PARTNERSHIP - N/A	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

	QUALIFIED PENSION IRA	None	N/A	N/A	
	CONGRESSIONAL FEDERAL CREDIT UNION	$50,001 - $100,000	INTEREST	$201 - $1,000	
SP	BANK OF GRANITE	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	BANK OF GRANITE	$1,001 - $15,000	INTEREST	$1 - $200	
	BANK OF AMERICA	$1,001 - $15,000	INTEREST	$1 - $200	
JT	JORDAN BRIDGE LOAN	None	INTEREST	NONE	S
JT	MARK WEAVER - LOAN	None	INTEREST	NONE	S
	PLASTIC PACKAGING, INC.	$5,000,001 - $25,000,000	DIVIDENDS	$50,001 - $100,000	
SP	PLASTIC PACKAGING, INC.	$250,001 - $500,000	DIVIDENDS	$5,001 - $15,000	
	PLASTIC PACKAGING, ESOP	$1,001 - $15,000	N/A	N/A	
	RAYMOND JAMES IRA (BRANDES)	$100,001 - $250,000	N/A	N/A	
	RAYMOND JAMES IRA (TECHNOLOGY)	None	N/A	N/A	ASSETS TRANSFERRED TO GROWTH IRA
	RAYMOND JAMES IRA (GROWTH)	$250,001 - $500,000	N/A	N/A	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

Page 14 of 23

SP	CRESCENT FINANCIAL CORP.	$1,001 - $15,000	DIVIDENDS	NONE	NAME CHANGED FROM CRESCENT STATE BANK
SP	AT&T CORP	$15,001 - $50,000	DIVIDENDS	$1 - $200	
SP	ALAMANCE NATIONAL BANK	$1,001 - $15,000	DIVIDENDS	NONE	
SP	BP PLC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	NAME CHANGE FROM BP AMOCO CORP.
SP	ANHEUSER BUSCH COMPANIES	$250,001 - $500,000	DIVIDENDS	$5,001 - $15,000	
SP	BELL SOUTH CORP.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	CATAWBA VALLEY BANK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	CITIGROUP, INC.	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
SP	EARTHGRAINS CO.	None	DIVIDENDS	$1 - $200	S
SP	FIRST SAVINGS BANCORP	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	FIRST WESTERN BANK	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

Page 15 of 23

SP	GENERAL ELECTRIC CO.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	LUCENT TECHNOLOGIES, INC.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	SBC COMMUNICATIONS, INC.	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	VODAFONE AIRTOUCH PLC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	CHARLOTTE-MECK HOSP AUTH, DUE 1/15/22	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	NC MUNI PWR AGY, 6.5% BOND	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	NEWTON NC SAN SWR	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	BLUE RHINO CORP	$1,001 - $15,000	DIVIDENDS	NONE	
SP	FIRST CHARTER CORP	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	COMMSCOPE, INC.	$1,001 - $15,000	DIVIDENDS	NONE	
SP	RMA MONEY MARKET	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
SP	DUKE ENERGY CORP.	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
SP	QWEST COMMUNICATIONS INTL INC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	VERIZON COMMUNICATIONS	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name THOMAS CASS BALLENGER

Page 16 of 23

SP	AT&T WIRELESS SERVICES INC.	$1,001 - $15,000	DIVIDENDS	NONE	SPINOFF OF AT&T CORP.
SP	AVAYA, INC.	$1 - $1,000	DIVIDENDS	NONE	
SP	CORNING INC.	$1,001 - $15,000	DIVIDENDS	NONE	P
JT	RMA MONEY MARKET	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
	MEDTECH	$1 - $1,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name THOMAS CASS BALLENGER

Page 17 of 23

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	COMMSCOPE INCORPORATED	P	7/26/01	$1,001 - $15,000
	TEXACO INCORPORATED	Merged with Chevron Corporation	10/10/01	$15,001 - $50,000
	SPIEKER PROPERTIES INCORPORATED	Merged with Equity Office Properties Trust	7/10/01	$1,001 - $15,000
	AGILENT TECHNOLOGIES, INC.	S	9/7/01	$1,001 - $15,000
	CISCO SYSTEMS INCORPORATED	S	4/27/01	$1,001 - $15,000
	CORNING INCORPORATED	S	4/27/01	$1,001 - $15,000
	GOODYEAR TIRE & RUBBER COMPANY	P	10/5/01	$1,001 - $15,000
	HALLIBURTON COMPANY	S	12/18/01	$1,001 - $15,000
	LUCENT TECHNOLOGIES INCORPORATED	S	5/25/01	$1,001 - $15,000
	PFIZER INCORPORATED	S	11/19/01	$1,001 - $15,000
	SOLECTRON CORPORATION	S	9/7/01	$1,001 - $15,000
	AGILENT TECHNOLOGIES, INC.	P	1/29/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name THOMAS CASS BALLENGER

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	CISCO SYSTEMS INCORPORATED	P	6/8/01	$1,001 - $15,000
	CONAGRA FOODS INCORPORATED	P	11/26/01	$1,001 - $15,000
	CORNING INCORPORATED	P	7/26/01	$1,001 - $15,000
	ELECTRONIC DATA SYSTEMS	P	11/26/01	$1,001 - $15,000
	LUCENT TECHNOLOGIES INCORPORATED	P	1/29/01	$1,001 - $15,000
	GOODRICH CORPORATION	P	10/31/01	$1,001 - $15,000
	GOODYEAR TIRE & RUBBER COMPANY	S	10/31/01	$1,001 - $15,000
SP	FORSYTH CNTY NC LAW 4.75% BOND	S	3/1/01	$1,001 - $15,000
SP	ADOBE SYSTEMS	P	4/11/01	$1,001 - $15,000
SP	AOL TIME WARNER	P	4/11/01	$1,001 - $15,000
SP	GENUINE PARTS CO	P	4/11/01	$15,001 - $50,000
SP	GOODRICH CORPORATION	P	10/10/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name THOMAS CASS BALLENGER

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	INTEL CORPORATION	P	4/11/01	$1,001 - $15,000
SP	AIM LAT AMERICAN GRWTH A	Merged with AIM Developing Mkts A	6/30/01	$15,001 - $50,000
SP	WILLIAMS COMM GROUP INC	Spinoff of Williams Co. Inc.	4/24/01	$1,001 - $15,000
SP	WORLDCOM GA NEW		6/8/01	$1,001 - $15,000
SP	WORLDCOM INC	P	4/11/01	$1,001 - $15,000
SP	DUKE ENERGY CORP.	P	9/21/01	$15,001 - $50,000
SP	EARTHGRAINS CO.	S	9/14/01	$15,001 - $50,000
SP	AT&T WIRELESS SERVICES INC.	Spinoff of AT&T Corp.	7/9/01	$1,001 - $15,000
SP	CORNING INC.	P	9/21/01	$1,001 - $15,000
	COMPTON 53 PROSPECT #1 WELL	P	7/1/01	$1,001 - $15,000
	VICI PROSPECT	P	7/1/01	$1,001 - $15,000
JT	JORDAN BRIDGE LOAN	S	7/1/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name THOMAS CASS BALLENGER

Page 20 of 23

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	MARK WEAVER - LOAN	S	7/1/01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name THOMAS CASS BALLENGER

Page 21 of 23

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
PLASTIC PACKAGING, INC.	MAR. 22-24	WASH., D.C. - HICKORY, NC - WASH., D.C.	N	N	Y	N/A
PLASTIC PACKAGING, INC.	JUNE 7-9	WASH., D.C. - HICKORY, NC - WASH., D.C.	N	N	Y	N/A
PLASTIC PACKAGING, INC.	SEPT. 13-15	WASH., D.C. - HICKORY, NC- WASH., D.C.	N	N	Y	N/A
PLASTIC PACKAGING, INC.	DEC. 13-15	WASH., D.C. - HICKORY, NC - WASH., D.C.	N	N	Y	N/A

SCHEDULE VIII - POSITIONS

Name THOMAS CASS BALLENGER

Page 22 of 23

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
CHAIRMAN OF THE BOARD	PLASTIC PACKAGING, INC.
LIMITED PARTNER	ASSOCIATED APARTMENT INVESTORS
LIMITED PARTNER	OAK PLANTATION ASSOCIATED, LTD.
LIMITED PARTNER	DYCO PETROLEUM

SCHEDULE IX - AGREEMENTS

Name THOMAS CASS BALLENGER

Page 23 of 23

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
JANUARY 15, 1998	SEE ATTACHED LETTER	EARNED INCOME EXEMPTION

CASS BALLENGER
10TH DISTRICT, NORTH CAROLINA

DEPUTY MAJORITY WHIP
REPUBLICAN STEERING COMMITTEE

COMMITTEE ON EDUCATION
AND THE WORKFORCE
SUBCOMMITTEE ON WORKFORCE PROTECTIONS
(CHAIRMAN)
EMPLOYER-EMPLOYEE RELATIONS

INTERNATIONAL RELATIONS COMMITTEE
SUBCOMMITTEE ON WESTERN HEMISPHERE
SUBCOMMITTEE ON INTERNATIONAL
OPERATIONS AND HUMAN RIGHTS

Congress of the United States
House of Representatives
Washington, DC 20515–3310

2182 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–3310
202–225–2576
cass.ballenger@mail.house.gov

DISTRICT OFFICES:
P.O. BOX 1830
261–10TH AVENUE DRIVE, NE
HICKORY, NC 28603
704–327–6100
1–800–477–2576 TOLL FREE

P.O. BOX 1881
2554 LEWISVILLE-CLEMMONS ROAD
SUITE 107
CLEMMONS, NC 27012
910–766–9455

January 15, 1998

The Honorable James V. Hansen
Chairman
Committee On Standards of Official Conduct
HT2 Capitol
Washington, D. C. 20515

Dear Mr. Chairman:

I am writing to request clarification on the rules governing outside earned income as it relates to a consulting fee I currently receive from my company (see attached letters and replies), as well as a new fringe benefit my company has agreed to offer to me.

As you can see from the attached letters, I have been permitted to receive $20,000 per year for as much as 400 hours of consulting services on implementation of corporate policy decisions. Plastic Packaging, Inc., a company I founded and in which I have controlling interest, is my prinicpal family investment, and I view it important to remain associated with the business to assure that my investment is protected. In previous reponses from the Committee, this annual amount has not been counted as outside earned income for the purposes of the limitation in Rule XLVII.

Now, in recognition of the services I provide to my company, it has agreed to sponsor a life insurance benefit for me. The life insurance benefit consists of life insurance on my life alone, and life insurance that matures upon the death of the survivor of myself and my wife, Donna. The life insurance benefit is structured under what is known as a Split-Dollar Plan.

The economic benefit that is represented by the life insurance under the Split-Dollar Plan will be reported as income for tax purposes. The value of the benefit for 1997 is approximately $9,500. Given the earlier determination by the Committee as it relates to the $20,000 consulting fee, may I accept the $9,500 without violating the outside earned income limitation of $20,040? I would appreciate advice relative to this matter for calendar year 1997 and beyond.

If you have questions or need clarification on any point, please call me or have your staff contact my Chief-of-Staff, Patrick Murphy, at 52576. Thank you for your prompt attention to this matter.

Sincerely,

Cass

CASS BALLENGER
Member of Congress

CB:pm

Enclosures (3)

JAMES V. HANSEN, UTAH
CHAIRMAN
LAMAR SMITH, TEXAS
JOEL HEFLEY, COLORADO
BOB GOODLATTE, VIRGINIA
JOE KNOLLENBERG, MICHIGAN

HOWARD L. BERMAN, CALIFORNIA
RANKING DEMOCRATIC MEMBER
MARTIN OLAV SABO, MINNESOTA
ED PASTOR, ARIZONA
CHAKA FATTAH, PENNSYLVANIA
ZOE LOFGREN, CALIFORNIA
SUITE HT-2, THE CAPITOL
(202) 225-7103

ONE HUNDRED FIFTH CONGRESS
U.S. House of Representatives
COMMITTEE ON STANDARDS OF
OFFICIAL CONDUCT
Washington, DC 20515-6328

February 20, 1998

FEB 25 1998

The Honorable Cass Ballenger
U.S. House of Representatives
2182 Rayburn House Office Building
Washington, DC 20515

Dear Colleague:

This responds to your letter of January 15, 1998 regarding your earned income from Plastic Packaging, Inc., a company that you founded and in which you have the controlling interest. In substance, the question posed in your letter is whether you may accept from the company, in addition a $20,000 per year consulting fee, a life insurance benefit that the company is sponsoring for you in recognition of your services to the company. Your letter states that the benefit is structured under a Split-Dollar Plan, the economic benefit of which is reported as income for tax purposes, and that the value of the benefit for 1997 is approximately $9,500.

As your letter recognizes, while the outside earned income of Members and senior staff is limited by both statute and House rule[1], clause 4(e) of House Rule 47 explicitly excepts a number of items from the definition of the term "outside earned income," and hence from the outside earned income limitation. One part thereof, clause 4(e)(4), provides an exception for income from a family business in the following circumstances:

> in the case of a Member, officer or employee engaged in a trade or business in which the individual or his family holds a controlling interest and in which both personal services and capital are income-producing factors, any amount received by such individual so long as the personal services actually rendered by the individual in the trade or business do not generate a significant amount of income.

Thus this provision excepts from the outside earned income limit amounts that a Member receives from a business where three requirements are satisfied: (1) the Member or his family holds a controlling interest in the business, (2) the nature of the business is such that both personal services and capital are income-producing factors, and (3) the personal services that the Member renders for the business are of a nature that they do not generate a significant amount of money. The intent of this provision, as reflected in the report of the House Commission on Administrative Review, was that,

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[1] 5 U.S.C. app. 4 §501(a); House Rule 47, cl. 1(a).

The Honorable Cass Ballenger
February 20, 1998
Page 2

> Members should be able to render personal services to manage or protect their equity in a family trade or business without having to allocate these personal services toward the 15-percent limitation.

H.Doc. 95-73, 95th Cong., 1st Sess. (Feb. 14, 1977).

In letters to you of February 25, 1987 and October 27, 1990, copies of which you attached to your current letter, the Committee determined the provision's requirements were satisfied with regard to Plastic Packaging and the consulting services (of up to 400 hours per year) that you render for the company, and that hence the $20,000 per year fee that you receive for those services would not be counted toward the outside earned income limit.[2] Both of those letters reflected the Committee's view that your limited efforts in behalf of the company appeared to be aimed at preserving your equity in the company, consistent with the intent of the provision, rather than generating income for the company.

The Committee understands from your current letter that you continue to have the controlling interest in Plastic Packaging. In view of the Committee's prior determinations regarding your consulting fee from the company, the economic benefit of the Split-Dollar Plan life insurance that the company is sponsoring for you, as described in your letter, likewise need not be counted as outside earned income for purposes of the outside earned income limit – provided, however, that there has been no significant change since 1990 in either the nature of the business of Plastic Packaging, or the nature or level of the services that you render for the company. If any such changes have occurred, you should contact the Committee for further advice. Otherwise, the economic benefit of the life insurance, like your consulting fee, should be reported on your annual Financial Disclosure Statement.

If you have any further questions, please contact the Committee's Office of Advice and Education at extension 5-3787.

Sincerely,

James V. Hansen
James V. Hansen
Chairman

Howard L. Berman
Howard L. Berman
Ranking Democratic Member

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[2] The Committee's letter of October 27, 1990 also reflected the Committee's determination that the consulting fee you receive from the company does not violate the "fiduciary relationship" provisions of the Ethics in Government Act and the House rules that took effect of January 1, 1991. 5 U.S.C. app. 4 §502(a); House Rule 47, cl. 2.

[illegible] Cannon House Office Building
Washington DC 20515
202-225-2576

COMMITTEES:
EDUCATION AND LABOR
PUBLIC WORKS AND TRANSPORTATION

Congress of the United States
House of Representatives
Washington, DC 20515

[illegible], NC [illegible]
704-[illegible]

P.O. Box [illegible]
[illegible] Street,
[illegible], NC [illegible]
704-[illegible]

March 20, 1990

The Honorable Julian Dixon
Chairman
The Committee on Standards of
  Official Conduct
HT-2, U.S. Capitol
Washington, D.C. 20515

Dear Julian:

I would appreciate clarification on limitations on outside earned income as it relates to a consulting fee I currently receive (see attached letter) from my company, in light of the changes mandated by the Ethics Reform Act of 1989 (Public Law 101-194).

As you can see from the attached letter, I have been permitted to receive $20,000 per year for as much as 400 hours of consulting services on implementation of corporate policy decisions. Plastic Packaging, Inc., a company I founded and in which I have controlling interest, is my principal family investment and I view it important to remain associated with the business to assure that my investment is protected.

Please advise me relative to any exemption of these fees from the limits on outside income for calendar year 1990 as prescribed under clause 2(b)(1) of House Rule XLVII as revised by Public Law 101-194. Further, I would appreciate advice relative to this matter for calendar year 1991 and beyond.

If you have questions or need clarification on any point, please call me or have your staff contact my administrative assistant, Patrick Murphy, at 225-2576.

Thank you for your prompt attention to this matter.

Sincerely,

Cass Ballenger
CASS BALLENGER
Member of Congress

CB:pmm

Enclosure

U.S. House of Representatives
COMMITTEE ON STANDARDS OF
OFFICIAL CONDUCT
Washington, DC 20515

February 25, 1987

The Honorable Cass Ballenger
United States House of Representatives
116 Cannon House Office Building
Washington, D. C. 20515

Dear Colleague:

This is in response to your letter of January 16, 1987, requesting the advice of this Committee regarding the propriety of your receipt of certain compensation from Plastic Packaging, Inc. Your correspondence elaborates on information provided in an earlier meeting with Committee Counsel Mark Davis.

You explain that you served as President of Plastic Packaging, Inc., from its founding in 1956 until your election to the House of Representatives. While you remain the majority stockholder and Chairman of the Board, you no longer have day-to-day operating responsibilities. In lieu of the salary previously paid to you, Plastic Packaging, Inc., intends to pay you $20,000 per year for as much as 400 hours of consulting services on implementation of corporate policy decisions. You further explain that Plastics Packaging, Inc., is your principal family investment, and you view it important to remain associated with the business to assure that your investment is protected.

The provision implicated by your inquiry is House Rule XLVII, which limits the amount of outside earned income which a Member of the House of Representatives may receive in a calendar year to 30 percent of the Member's aggregate yearly congressional salary. As provided in the Rule, the term "outside earned income" means "wages, salaries, professional fees, honorariums, and other amounts ... received as compensation for personal services actually rendered." Several exemptions are noted, however. Clause 3(d)(4) of Rules XLVII specifically states that outside earned income does not include--

> in the case of a Member engaged in a trade or business in which the Member or his family holds a controlling interest and in which both personal services and capital are income-producing factors, any amount received

The Honorable Cass Ballenger
February 25, 1987
Page 2

> by such Member so long as the personal services actually rendered by the Member in the trade or business do not generate a significant amount of income.

The Committee is of the opinion that the services you will be performing for Plastic Packaging, Inc., and compensation in the amount specified, fall within the stated exemption. The purpose of the exemption, as stated by the Commission on Administrative Review of the 95th Congress, is to enable Members to protect their interest in a family business. (See, House Document 95-73, p. 11; see also, Advisory Opinion No. 13, House Select Committee on Ethics, 95th Congress.) Further evidence of the fact that your efforts are aimed at preserving your equity, rather than generating a significant amount of income, is the limited time you plan to devote to the business. The Committee also notes that the amount of compensation you will be receiving from the corporation is substantially less than that reported for prior years on the Financial Disclosure Statement which you filed as a candidate.

While this compensation will not be counted as outside earned income for the purposes of the limitation in Rule XLVII, please note that it still must be reported on the Financial Disclosure Statement you are required to file as a Member of the House of Representatives by May 15th of each year. For purposes of clarity, we suggest that you note on the Statement that this income is from a family business and exempt from application of Rule XLVII.

If you have any further questions concerning this matter, please contact the Committee staff at extension 5-7103.

Sincerely,

Julian C. Dixon
Chairman

Floyd D. Spence
Ranking Minority Member

JS:MJD

JULIAN C. DIXON, CALIFORNIA, CHAIRMAN
VIC FAZIO, CALIFORNIA
BERNARD J. DWYER, NEW JERSEY
ALAN B. MOLLOHAN, WEST VIRGINIA
JOSEPH M. GAYDOS, PENNSYLVANIA
CHESTER G. ATKINS, MASSACHUSETTS
(202) 225-7103

U.S. House of Representatives
Committee on Standards of Official Conduct
Suite HT-2, U.S. Capitol
Washington, DC 20515

[illegible]
LARRY E. CRAIG, IDAHO
FRED GRANDY, IOWA
RALPH L. LOTKIN, CHIEF COUNSEL

October 27, 1990

The Honorable Cass Ballenger
U.S. House of Representatives
218 Cannon House Office Building
Washington, D. C. 20515

Dear Colleague:

This is in response to your letter requesting clarification of the limitations on outside earned income as it relates to a consulting fee you receive from your company. The Committee originally addressed this matter in a letter of February 25, 1987, a copy of which you enclosed with your correspondence.

You explain that while a Member of the House you have accepted $20,000 per year from Plastic Packaging, Inc., for as much as 400 hours of consulting services on implementation of corporate policy decisions. You founded the company and have retained controlling interest in it. It is your principal family investment and you continue to view it important to remain associated with the business to assure that your investment is protected. Consistent with Committee advice, this income has not been treated as subject to the earned income limit of House Rule XLVII. In light of the changes mandated by the Ethics Reform Act of 1989 (P.L. 101-194 as amended by P.L. 101-280), you ask if the Committee's earlier advice continues to apply to your situation.

In 1987, you told the Committee that you were Chairman of the Board of Plastic Packaging, Inc., in addition to being majority stockholder. Your Administrative Assistant, Patrick Murphy, has informed Committee Counsel Mark Davis that this continues to be the case. While the corporation does provide you with transportation to attend board meetings, you receive no compensation other than the $20,000 consulting fee.

Several provisions of Federal law and House rules, as amended by the Ethics Reform Act of 1989, are relevant to your inquiry. Members of the House are limited in the amount of outside earned income they may receive in a calendar year by House Rule XLVII. For calendar year 1990, the outside earned income limit is 30 percent of the aggregate yearly congressional salary paid in 1989, or $26,850. House Rule XLVII, clause 1(b)(1). For calendar years after 1991, the earned income limit will be 15 percent of the January 1 rate of pay in effect for level II of the Executive Schedule (the same rate at which House Members are paid). House Rule XLVII, clause 1(a)(2); see also section 501(a) of the Ethics in Government Act of 1978, as amended (5 U.S.C. app. 7, §501(a), hereinafter cited as "EIGA".

"Outside earned income" is defined in Rule XLVII, clause 3(e), to mean "wages, salaries, fees, and other amounts received or to be received as compensation for personal services actually rendered." Several exemptions are noted, however. Clause 3(e)(4) of Rule XLVII specifically states that outside earned income does not include—

> [I]n the case of a Member engaged in a trade or business in which the Member or his family holds a controlling interest and in which both personal services and capital are income-producing factors, any amount received by such Member so long as the personal services actually rendered by the Member in the trade or business do not generate a significant amount of income.

Even if compensation is consistent with the definition of "outside earned income" or falls within one of the stated exemptions, certain activities for compensation will be totally prohibited by Federal law and House Rule XLVII beginning January 1, 1991. Section 502 of EIGA (5 U.S.C. app. 7, §502), provides, in pertinent part, that Members of the House, as well as other senior government officials, shall not —

> (1) receive compensation for affiliating with or being employed by a firm, partnership, association, corporation, or other entity which provides professional services involving a fiduciary relationship;
>
> (2) permit that Member's . . . name to be used by any such firm, partnership association, corporation, or other entity;
>
> (3) receive compensation for practicing a profession which involves a fiduciary relationship; [or]
>
> (4) serve for compensation as an officer or member of the board of any association, corporation, or other entity.

See also House Rule XLVII, clause 2.

The statute does not define what constitutes "professional services which involve a fiduciary relationship." That determination has been left to this Committee with respect to House Members and staff, pursuant to its authority under sections 503(1)(A) and 504(b) of EIGA (5 U.S.C. app. 7, §§503(a)(A) and 504(b)). *See* *Report of the House Bipartisan Task Force on Ethics on H.R. 3660*, p. 16, *Cong. Rec.* (daily ed.), Nov. 21, 1989, H9257.

The legislative history of the Ethics Reform Act suggests the primary objectives behind enactment of the prohibition on the paid practice of a profession which involve a fiduciary relationship. The first was to prevent any conflict between the responsibility of a public official to act for the common good and the obligation which would be owed a private client paying compensation. The second was to make certain that official position was not being used for private gain. The third objective was to "ensure that honoraria not reemerge in various kinds of professional fees from outside interests." *See Task Force Report*, *supra*, pp. 15-16.

To determine whether employment in which a Member proposes to engage is prohibited under the statute, the Committee is looking at more than the title of the position and the kind of services typically performed by those in the occupation. Subject to further legislative guidance, the Committee is evaluating the nature and circumstances of each individual's *particular* employment on a case-by-case basis in light of the objectives of the Ethics Reform Act.

With respect to your services for Plastic Packaging, Inc., you are serving as Chairman of the Board but are receiving no compensation other than the consulting fee. (Your receipt of travel expenses to attend board meetings is not considered compensation.) You were paid by Plastic Packaging prior to your election to the House of Representatives, but the $20,000 consulting fee is significantly less than you had been receiving. In addition, the payment is consistent with the policy enunciated in House Rule XLVII to permit a Member to accept compensation to protect his interest in a *family* business. Your limited efforts appear aimed at preserving your equity, rather than generating income for the company. Such continuing service related to a family-controlled business suggests neither a significant conflict between public and private obligations, nor accrual of a benefit on account of your status as a Member of Congress. Furthermore, payments to you are not in consideration of speeches, appearances, or articles.

Based on the above considerations, we are of the opinion that the services you perform for Plastic Packaging, Inc., and the specified compensation you receive, continue to fall within the cited exemption in House Rule XLVII. Furthermore, your

receipt of this compensation will not be prohibited after Januar
1, 1991, since we do not view you as performing "professiona
services involving a fiduciary relationship" for the purposes of
section 502 of EIGA and House Rule XLVII.

While this compensation will not be counted as outside earned income for the purposes of the limitation in Rule XLVII, please note that it still must be reported on the Financial Disclosure Statement you are required to file as a Member of the House of Representatives by May 15th of each year.

As stated above, this opinion is subject to reconsideration based on subsequent enactment of legislation or rule changes. If you have any further questions concerning this matter, please contact the Committee's Office of Advice and Education at extension 5-3787.

Sincerely,

Julian C. Dixon
Chairman

John T Myers

John T. Myers
Ranking Minority Member

JS:MJD

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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3

James A. Barcia
(Full Name)

2419 Rayburn Washington D.C. 20515
(Mailing Address)

(202) 225-8171
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives State: MI District: 05	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	X J. Barcia	May 30 '02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name James A. Barcia

Page 1 of 2

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Michigan Legislative Retirement System					X														N/A												
	Michigan Deferred Compensation Plan				X															N/A												
	Fahnestock Money Market Fund			X												X						X										
	Comerica Inc. stock				X									X									X									
JT	Immunex - stock				X									X									X									
JT	Washington Mutual Investors			X										X								X										

For additional assets and unearned income, use next page.

Name James A. Barcia

Page 2 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples.	SP	Mega Corp. Stock					X								X										X								P
DC,			Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
JT	CoPoCo Credit Union						X											X								X								

For additional assets and unearned income, use next page.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

Thomas M Barrett
(Full Name)

5030 West washington Boulevard Milwaukee, WI 53208
(Mailing Address)

202-225-3571
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: WI District: 05	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	**Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period?** **If yes, complete and attach Schedule I.**	Yes ☐ No ☑
II.	**Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?** **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑
VI.	**Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)?** **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas M. Barrett	5/15/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Thomas M Barrett

Page 2 of 5

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	ADC Telecom Inc	None	DIVIDENDS	NONE	S
	Bone Care Int'l Inc.	$1,001 - $15,000	DIVIDENDS	NONE	
	Medtronic Inc	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Sun Microsystems Inc	None	CAPITAL GAINS	$201 - $1,000	S
	Minimed Inc	None	CAPITAL GAINS	$2,501 - $5,000	S
	Baird & Company General Money Market	$1 - $1,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Thomas M Barrett

	Tellabs Inc	None	CAPITAL GAINS	NONE	S
DC	Southern Company Stock - daughter Annie's stock	$1,001 - $15,000	DIVIDENDS	NONE	
DC	Southern Company Stock - son Tom's stock	$1,001 - $15,000	DIVIDENDS	NONE	
	American Funds Group Mutual Fund	$15,001 - $50,000	CAPITAL GAINS/DIVIDENDS	$1,001 - $2,500	
DC	Southern Company Stock - daughter Erin's stock	$1,001 - $15,000	DIVIDENDS	NONE	
SP	American Funds Roth IRA	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	American Funds Roth IRA - Tom	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Equivest Fund Roth IRA	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Equivest Fund Traditional IRA	$15,001 - $50,000	CAPITAL GAINS	NONE	
	Equivest Fund Roth IRA	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Vanguard Inst. Index - Dfrd. Comp.	$15,001 - $50,000	DIVIDENDS/ CAPITAL GAINS	NONE	
	Stable Value Fund - Dfrd. Comp	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	DFA US 9-10 Small Co. - Dfrd. Comp.	$1,001 - $15,000	CAPITAL GAINS	$1,001 - $2,500	
	Janus Fund - Dfrd. Comp.	$15,001 - $50,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Thomas M Barrett

Page 4 of 5

SP	Aetna Annuity	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	
	Fidelity Contra Funds - Dfrd. Comp.	$15,001 - $50,000	CAPITAL GAINS	NONE	
SP	Wisconsin Retirement System	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Wisconsin Retirement System	$15,001 - $50,000	INTEREST	$2,501 - $5,000	
SP	Educators Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
	Educators Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
	AOL Time Warner Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P
	Johnson & Johnson	$1,001 - $15,000	DIVIDENDS	NONE	P
	Microsoft Corp.	$1,001 - $15,000	DIVIDENDS	NONE	P
	Third Wave Tech Inc.	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE IV - TRANSACTIONS

Name Thomas M Barrett

Page 5 of 5

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	ADC Telecom Inc	S	6/20/2001	$1,001 - $15,000
	Minimed Inc	S	6/4/2001	$15,001 - $50,000
	Tellabs Inc	S	6/20/2001	$1,001 - $15,000
	Sun Microsystems Inc	S	6/4/2001	$1,001 - $15,000
	Sun Microsystems Inc	S	9/5/2001	$1,001 - $15,000
	Sun Microsystems Inc	S	2/5/2001	$1,001 - $15,000
	AOL Time Warner	P	6/20/2001	$1,001 - $15,000
	Johnson & Johnson	P	6/4/2001	$1,001 - $15,000
	Microsoft Corp.	P	6/20/2001	$1,001 - $15,000
	Third Wave Tech Inc.	P	9/6/2001	$1,001 - $15,000

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 4
For use by Members, officers, and employees

Dr. Roscoe G. Bartlett, Jr.
(Full Name)

2412 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-2721
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives State: MD District: 06	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15) ☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 02, 2002

SCHEDULE I - EARNED INCOME

Name Dr. Roscoe G. Bartlett, Jr.

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Maryland State Retirement System	Pension	$14,960.70

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dr. Roscoe G. Bartlett, Jr.

Page 3 of 4

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	(House & Lot) 10399 Liberty Rd. Mt. Pleasant, MD	$100,001 - $250,000		NONE	
	(House & Lot) 10401 A Liberty Rd. Mt. Pleasant, MD	$100,001 - $250,000		Under Construction	
	(House) 230 Knoxville Rd. Knoxville, MD	$50,001 - $100,000		NONE	
	19067 Three Mile Highway Onaway, MI 80 acres and home	$50,001 - $100,000	RENT	$1,001 - $2,500	
	3444 Big Woods Rd. Frederick, MD	$50,001 - $100,000		Under Construction	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Dr. Roscoe G. Bartlett, Jr.

Page 4 of 4

JT	4317 Buckeystown Pike Frederick, MD	$1,000,001 - $5,000,000	RENT	$50,001 - $100,000	
JT	BB&T Bank Checking Acct.	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
	lot 49 Thurmont East Thurmont, MD (.5 acre	$50,001 - $100,000		NONE	
JT	Precious Metals	$50,001 - $100,000		NONE	
JT	Putnam Bonds	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Spruce Knob Lake Forest Service Rd. 153 acres, Pocahontas, County WV 2 Houses	$100,001 - $250,000		NONE	

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2002 MAY 15 PM 2:32

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7

For use by Members, officers, and employees

Joe Linus Barton
(Full Name)

2264 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-2002
Daytime Telephone:

Filer Status	☑ Member of the U S. House of Representative	State: TX District 6th	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joe Barton	5-15-02

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Joe Linus Barton

Page 2 of 7

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Exnet	Speech	Jan. 30, 2001	$750
National Energy Marketers Association	Speech	April 4, 2001	$1,000
American Council for Capitol Formation Center for Policy Research	Speech	June 6, 2001	$2,000
Natural Gas Partners	Speech	July 13, 2001	$2,000
East Texas Electric Cooperative	Speech	Aug. 24, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Joe Linus Barton

Page 3 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Vanguard Common Stock	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
JT	Vanguard 500 Index	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Main Bank Ennis	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Cripple Creek #99	$15,001 - $50,000	RENT	$5,001 - $15,000	
JT	Cripple Creek #16	$15,001 - $50,000	RENT	$5,001 - $15,000	
JT	Main Bank Ennis	$15,001 - $50,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Joe Linus Barton

Page 4 of 7

JT	Ennis Business Forms	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
JT	BP Amoco	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	TXU Corporation	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
JT	Wal-Mart	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	SBC Corporation	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Enron	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS

SCHEDULE IV - TRANSACTIONS

Name Joe Linus Barton

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Enron	P	Oct. 5 Oct. 20 Nov. 15	$1,001 - $15,000
	Enron	S	Dec. 31	$895

SCHEDULE V - LIABILITIES

Name Joe Linus Barton

Page 6 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Liberty Lending Cincinnati/Wilmington, OH	Mortgage on Cripple Creek Condo, 904 University Oaks #16, College Station, Texas	$15,001 - $50,000
JT	First American Bank Bryan, Texas	Mortgage on Cripple Creek Condo, 904 University Oaks #99, College Station, Texas	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Joe Linus Barton

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Consumer Electionics Association	Jan. 5-9	DFW--Las Vegas-- DFW	Y	Y	N	N/A
Exnet/The LeBoeuf, Lamb, Greene, and MacRae	Jan. 29-30	DFW--New York--Wash, D.C.	Y	Y	N	N/A
National Association of Broadcasters	April 21-24	DFW--Las Vegas--Wash, D.C	Y	Y	N	N/A
State of Tenn. Dept. Of Environment and Conservation	May 31-June 1	DFW--Knoxville, Tenn--DFW	Y	Y	N	N/A
Edison Electric Institute	Sept. 4-5	DFW--Colorado Springs, CO-- Wash, D.C	Y	Y	N	N/A
Power Gen International	Dec. 8-11	DFW--Las Vegas--DFW	Y	Y	N	2 Days

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

Form A
For use by Members, officers, and employees

HAND DELIVERED

(10)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:10
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

(Office Use Only)

Charles F. Bass
(Full Name)

128 Elm Hill Road
Peterborough NH 03458
(Mailing Address)

Daytime Telephone: 603-226-0249

Filer Status	☒ Member of the U.S. House of Representatives	State: NH District: 02	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

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CERTIFICATION	SIGNATURE OF REPORTING INDIVIDUAL	DATE (Month/Day/Year)
I CERTIFY that the statements I have made on this form, and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Charles F. Bass	May 9, 2002

Name Charles F. Bass

Page 2 of 8

SCHEDULE I – EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$10,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	High Standard, Inc.	Consulting Fee	$10,000.00
	Columbia Architectural Products, Inc.	Consulting Fee	$10,000.00
	High Standard, Inc.	Spouse salary	NA
	Columbia Architectural Products, Inc.	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Charles F. Bass

Page 3 **of** 8

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

SP, DC, JT	BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transaction**
	Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e. one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year. **Exclude** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For retirement plans that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
	Examples: Mega Corp. Stock	$15,001 - $50,000	Dividends	$201 - $1,000	P
	SP. 123 Main St., Dover, Del.	$250,001 - $500,000	Rent	$1,001 - $2,500	
	1st Bank of Paducah, KY accounts	$50,001 - $100,000	Interest	$5,001 - $15,000	
	1765 R Street, NW, Washington, DC	$500.001 - $1.000.000	Rent	$15.001 - $50.000	NA
	IRA, AG Edwards, POB 353, Greenfield, MA	$50.001 - $100.000	NA	None	NA
	Nucor Corp.	$15.001 - $50.000	Dividends	$201 - $1.000	S
	Granite Bank Checking Account	$15.001 - $50.000	Interest	$201 - $1.000	NA
	Real Estate, Edgartown, MA	$100.001 - $250.000	NA	None	NA
	Columbia Architectural Products, Inc. stock	$100.001 - $250.000	NA	None	NA

Name Charles F. Bass | **Page** 4 **of** 8

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Lancaster National Bank stock	$15.001 - $50.000	Dividends	$1.001 - $2.500	NA
	Granite Bank stock	$1.001 - $15.000	Dividends	$1 - $200	NA
	AG Edwards cash account	$1 - $1.000	Interest	$1 - $200	NA
	Wright Patman Federal Credit Union	$1.001 - $15.000	NA	None	NA
JT	Milford Recap Partnership	$15.001 - $50.000	NA	None	NA
SP	IRA, AG Edwards	$15.001 - $50.000	NA	None	NA
SP	Granite Bank checking account	$1.001 - $15.000	Interest	$1 - $200	NA
	High Standard, Inc. term loan	$15.001 - $50.000	Interest	$1.001 - $2.500	NA
SP	Granite Bank stock	$1.001 - $15.000	Dividends	$1 - $200	NA
SP	ITT Hartford Annuity	$50.001 - $100.000	NA	None	NA
	Manulife Financial Corp.	$1.001 - $15.000	NA	None	S
	1629 21st Street, NW, Washington, DC	$500.001 - $1.000.000	Rent	$15.001 - $50 000	NA
	Legg Mason Value Trust	$50.001 - $100.000	NA	None	NA
	Granite Bank Checking Account	$1.001 - $15.000	Interest	$1 - $200	NA
	Granite Bank Money Market Account	$15.001 - $50.000	Interest	$201 - $1.000	NA
	Sturm Ruger, Inc. stock	$15.001 - $50.000	Dividends	$1.001 - $2.500	NA
DC	Growth Fund of America	$15.001 - $50.000	NA	None	P
DC	Growth Fund of America	$15.001 - $50.000	NA	None	P
	Growth Fund of America	$15.001 - $50.000	NA	None	Purchased/Sold/Purchased

Name Charles F. Bass | Page 5 of 8

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Investment Company of America	$15.001 - $50.000	NA	None	P
Morgan Stanley Dean Whitter	$1.001 - $15.000	NA	None	Sold (Gift from relative)

Name Charles F. Bass	**Page** 6 **of** 8

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
	Example: Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	Morgan Stanley Dean Whitter	Sold	November 2001	$1.001 - $15.000
	Nucor Corp	Sold	April 2001	$15.001 - $50.000
	Manulife Financial Corp.	Sold	November 2001	$15.001 - $50.000
	Investment Company of America	Purchase	Oct. Nov. 2001	$15.001 - $50.000
	Cash Benefit Management Trust Company of America	Exchange	Nov. & Dec. 2001	$15.001 - $50.000
	Growth Fund of America	Purchase	Jan. & May 2001	$15.001 - $50.000
	Growth Fund of America	Sold	November 2001	$15.001 - $50.000
	Growth Fund of America	Purchase	December 2001	$15.001 - $50.000

Name Charles F. Bass | **Page** 7 of 8

SCHEDULE V -- LIABILITIES

Report liabilities of over $10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year

Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent or sibling of you or your spouse. Report **revolving charge accounts** only if the balance at the close of preceding calendar year exceeded $10,000.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del	$100,001 - $250,000
	Citicorp Mortgage Company	Mortgage, 1629 21st St. NW, Washington, DC 20515 (Bass Partners)	$250,001 - $500,000

Name	Page ___ of ___

SCHEDULE VI -- GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.
Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 26, clause 5) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (waiver received from Committee on Standards)	$270

Name Charles F. Bass

Page ____ **of** ____

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time *not* at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar.2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug.6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
			N	N	N	

Name Charles F. Base

Page 8 of 8

SCHEDULE VIII – POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Organization
Consultant	High Standard, Inc., Columbia Architectural Products, Inc.

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of

Xavier Becerra
(Full Name)

1910 Sunset Blvd., #560 Los Angeles, CA 90026
(Mailing Address)

213-483-1425
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 30	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

SCHEDULE I - EARNED INCOME

Name Xavier Becerra

Page 2 of 11

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Cedar-Sinai Medical Center	Spouse Salary	n/a
U.S. Dept. Of Health & Human Services, Secretary's Committee on Infant Mortality	Spouse Per Diem	n/a

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Xavier Becerra

Page 3 of 11

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	1005 Mooney Drive Monterey Park	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	Alliance Prem Growth	$1,001 - $15,000		NONE	
JT	Alliance Tech	$1,001 - $15,000		NONE	
JT	Amer Intl. Group	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	American Express	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	AOL Time Warner	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Xavier Becerra

Page 4 of 11

DC	AOL Time Warner	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	AT&T	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	California Federal Bank - Savings	$1 - $1,000	INTEREST	$1 - $200	
JT	Cisco	$1,001 - $15,000		NONE	
JT	Citi Group	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Congressional Federal Credit Union - Checking	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Congressional Federal Credit Union - Savings	$1 - $1,000	INTEREST	$1 - $200	
JT	Davis NT Venture	$1,001 - $15,000		NONE	
JT	Dell	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Electronic Data Systems	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Exxon Mobil	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	S
JT	General Electric	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	General Mills	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Golden One Credit Union - Savings	$1 - $1,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Xavier Becerra

Page 5 of 11

JT	Goldman Sachs Growth	$1,001 - $15,000		NONE	
JT	Hartford Capital	$1,001 - $15,000		NONE	
JT	Home Depot	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	IBM	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	ING Pilgrim	$1,001 - $15,000		NONE	
JT	Intel	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Kohls Corp	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	S
JT	Loan to Becerra for Congress	$50,001 - $100,000	INTEREST	$5,001 - $15,000	
JT	Medtronics	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Mellon Financial	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Merck	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Merrill Lynch - Checking	$1,001 - $15,000		NONE	
JT	Merrill Lynch Global Growth	$1,001 - $15,000		NONE	
JT	Microsoft	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Xavier Becerra

Page 6 of 11

JT	Nokia	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Nokia	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Pepsico	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Pfizer	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Pharmacia Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Qualcomm	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Safeway	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Texaco	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	S
JT	Tricon	$1,001 - $15,000		NONE	
JT	Tyco	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	United Pan Financial	$1,001 - $15,000		NONE	
JT	United Parcel	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	United Technologies	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	S
JT	Walgreen	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Xavier Becerra

Page 7 of 11

JT	Walmart	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Walt Disney	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Washington Mutual Checking Acct.	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Weyerhauser	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Worldcom	$1,001 - $15,000		NONE	

SCHEDULE IV - TRANSACTIONS

Name Xavier Becerra

Page 8 of 11

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	AMGEN Inc.	S	3-14-01	$1,001 - $15,000
JT	Anheuser Busch	S	3-19-01	$1,001 - $15,000
JT	Chevron Corp	S	3-19-01	$1,001 - $15,000
JT	Exxon Mobil	S	6-18-01	$1,001 - $15,000
JT	Fleet Boston Financial	S	3-14-01	$1,001 - $15,000
JT	Kohls Corp	S	3-14-01	$1,001 - $15,000
JT	Qual Comm	S	4-9-01	$1,001 - $15,000
JT	Texaco	S	6-18-01	$1,001 - $15,000
JT	United Technologies	S	3-14-01	$1,001 - $15,000
JT	Verizon Comm	S	3-14-01	$1,001 - $15,000
JT	Walgreen	S	3-14-01	$1,001 - $15,000
JT	Goldman Sachs Internet	S	3-14-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Xavier Becerra

Page 8 of 11

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Wells Fargo Bank, Calif.	Mortgage on 1005 E. Mooney Dr., Monterey Park, CA	$50,001 - $100,000

SCHEDULE VIII - POSITIONS

Name Xavier Becerra

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	National Parent Teacher Association (PTA)
Board Member	National Assoc. Of Latino Elected & Appointed Officials (NALEO)
Board Member	Close Up Foundation
Board Member	Congressional Hispanic Caucus Institute
Board Member	Los Angeles Annenberg Metropolitan Project (LAAMP)
Board Member	Families in Schools
Trustee	Pitzer College

FOOTNOTES

Name Xavier Becerra

Page 11 of 11

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	The following JT assets fell below $1,000 in value: Boeing, JP Morgan Chase, EMC, Lucent, Microsoft, Motorola, Munder Net Net, Nortel, SBC Comm, Sun Micro	
2	Schedule III	The following DC assets fell below $1,000 in value: Cisco, Goldman Sachs Internet, Lucent, McDonald's, Motorola	
3	Schedule IV	The following assets were sold in 2001 for less than $1000: Schumberger, Tibco Software	
4	Schedule III	Purchased Dell stock prior to 2001, but did not list on last statement as value was less than $1,000.	Dell
5	Schedule III	Purchased Electronic Data Systems stock prior to 2001, but did not list on last statement as value was less than $1,000.	Electronic Data Systems
6	Schedule III	Purchased IBM stock prior to 2001, but did not list on last statement as value was less than $1,000.	IBM

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U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

Kenneth E. Bentsen, Jr.
(Full Name)

405 Cannon HOB U.S. House of Representatives Washington, DC 20515
(Mailing Address)

202-225-7508
(Daytime Telephone)

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 25	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

SCHEDULE I - EARNED INCOME

Name Kenneth E. Bentsen, Jr.

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Susan Davis International	Spouse Salary (1/1-10/3)	$45,206
Cancer Research Foundation of America	Spouse Salary (10/4-12/31)	$14,466

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kenneth E. Bentsen, Jr.	Page 3 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
NN	Fidelity Cash Reserves	$1 - $1,000	Interest	$1 - $200	PS
	Fidelity Puritan IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	PS
	Fidelity Magellan IRA	$15,001 - $50,000	Capital Gains and Dividends	$201 - $1,000	P
	Fidelity Capital & Income	$1,001 - $15,000	Interest	$201 - $1,000	P
	Fidelity Puritan Rollover	$1 - $1,000	Capital Gains and Dividends	$1 - $200	PS
	Fidelity Puritan Rollover	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	PS

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kenneth E. Bentsen, Jr.

Page 4 of 7

	Fidelity Contrafund Rollover	$15,001 - $50,000	Capital Gains and Dividends	$1 - $200	P
	Fidelity Growth & Income	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
	Estate of Edna R. Bentsen	$1,001 - $15,000	Interest, Dividends and Royalties	$2,501 - $5,000	Other
	George K. Baum & Co Gold Account Dreyfus Money Market	$1 - $1,000	Interest	$1 - $200	Other
	1991 Trust Estate LMB, Sr.	$100,001 - $250,000	Dividends	$5,001 - $15,000	Other
	1987 Trust LMB, Sr.	$15,001 - $50,000	Dividends	$2,501 - $5,000	Other
	Estate of Edna R. Bentsen LMB Partnership	$100,001 - $250,000	Dividends	$5,001 - $15,000	Other
SP	SP Fidelity Magellan IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
SP	SP Fidelity Puritan IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	P
SP	Merrill Lynch/SGK 403 Account	$1 - $1,000	Dividends	$1 - $200	Other

SCHEDULE IV - TRANSACTIONS

Name Kenneth E. Bentsen, Jr.

Page 6 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Fidelity Cash Reserves	P	5-10-01	$1,001 - $15,000
	Fidelity Cash Reserves	P	6-22-01	$1,001 - $15,000
	Fidelity Cash Reserves	P	7-12-01	$1,001 - $15,000
	Fidelity Cash Reserves	P	8-17-01	$1,001 - $15,000
	Fidelity Cash Reserves	P	9-26-01	$1,001 - $15,000
	Fidelity Cash Reserves	P	10-15-01	$1,001 - $15,000
	Fidelity Capital & Income	P	Quarterly Reinvestment	$1,001 - $15,000
	Fidelity Puritan	E	5-10-01	$1,001 - $15,000
	Fidelity Puritan	E	5-10-01	$1,001 - $15,000
	Fidelity Puritan	E	6-22-01	$1,001 - $15,000
	Fidelity Puritan	E	8-17-01	$1,001 - $15,000
	Fidelity Puritan	E	9-26-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Kenneth E. Bentsen, Jr.

Page 6 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. **Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.**

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Fidelity Puritan	E	10-15-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Kenneth E. Bentsen, Jr.

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
International Management and Development Institute	Feb. 21-25	Wash., D.C.-Dusseldorf, Germany to Liechtenstein to Wash., D.C.	Y	Y	Y	None
University of Florida	Feb. 15-16	Wash., D.C. - Jacksonville, Florida	Y	N	Y	None
American Association of Clinical Endocrinologists	May 4	Washington-San Antonio-Houston	N	Y	N	None
International Management and Development Institute	May 25-31	Wash., D.C.- Copenhagen, Denmark- Oslo, Norway-Wash., D.C.	Y	Y	Y	1 Day
Cardigan Mountain School	June 1-2	Wash.,D.C. - Manchester, NH - Wash.,D.C.	Y	N	N	None

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Douglas Kent Bereuter
(Full Name)

2184 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-4806
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: NE District: 1st	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Doug Bereuter	May 15, 2002

SCHEDULE I - EARNED INCOME

Name Douglas Kent Boroutor

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Arlington County, Virginia School Board	Spouse Pension	N/A
Commonwealth of Virginia	Spouse Pension	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Douglas Kent Bereuter

Page 3 of 7

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
The Heritage Foundation, Washington, DC *see attached memo	Speech	March 6, 2001	* $5,000

DOUG BEREUTER
1ST DISTRICT, NEBRASKA

2184 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515-2701
(202) 225-4806

DISTRICT ADDRESSES:
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301 SOUTH 13TH STREET
SUITE 100
LINCOLN, NE 68508
(402) 438-1598

629 NORTH BROAD STREET
FREMONT, NE 68025
(402) 727-0888

Congress of the United States
House of Representatives

COMMITTEE ON FINANCIAL SERVICES
SUBCOMMITTEES:
INTERNATIONAL MONETARY POLICY
AND TRADE, CHAIRMAN
FINANCIAL INSTITUTIONS AND
CONSUMER CREDIT
HOUSING AND COMMUNITY OPPORTUNITY
COMMITTEE ON
INTERNATIONAL RELATIONS
SUBCOMMITTEE ON EUROPE, VICE CHAIRMAN
COMMITTEE ON TRANSPORTATION
AND INFRASTRUCTURE
SUBCOMMITTEES:
HIGHWAYS AND TRANSIT
WATER RESOURCES AND ENVIRONMENT
PERMANENT SELECT COMMITTEE
ON INTELLIGENCE
VICE CHAIRMAN

MEMO

To: Committee on Standards of Official Conduct
From: Doug Bereuter
Date: May 15, 2002
Subject: Schedule II

Regarding Schedule II – the attached letter was faxed to the Committee on Standards of Official Conduct on April 19, 2002, regarding a misunderstanding relating to honoraria. As of today, May 15th, I have not received a response from the Committee.

DOUG BEREUTER
1ST DISTRICT, NEBRASKA

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WASHINGTON, DC 20515–2701
(202) 225–4806

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Congress of the United States
House of Representatives

COMMITTEE ON FINANCIAL SERVICES
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AND INFRASTRUCTURE
SUBCOMMITTEES:
HIGHWAYS AND TRANSIT
WATER RESOURCES AND ENVIRONMENT
PERMANENT SELECT COMMITTEE
ON INTELLIGENCE
VICE CHAIRMAN

April 19, 2002

The Honorable Joel Hefley
Chairman
Committee on Standards of Official Conduct
HT2 Capitol
Washington, D.C. 20515

Dear Chairman Hefley:

I am writing to request appropriate guidance regarding my 2001 Financial Disclosure Schedule II, Payments in Lieu of Honoraria made to a Charity. A donation in the amount of $5,000 was sent to the Meridian House International on March 7, 2001, on behalf of a speech that I delivered to The Heritage Foundation on March 6, 2001 (please refer to enclosure). Since The Heritage Foundation is a long-time Washington-based organization, I assumed that the amount of the check was within the Committee's guidelines. It was just brought to my attention today that the maximum amount that may be directed to a charity for a speech is $2,000.

I would appreciate it if you would please make an exception to the rule this time or grant a waiver, as the donation was given to Meridian on March 7, 2001. It would be difficult for this highly respected organization to return these funds now and I see no benefit to anyone in asking them to do so.

Since this involves my 2001 Financial Disclosure which is due May 15, 2002, could you please expedite this request. Thank you.

Sincerely,

Doug

DOUG BEREUTER
Member of Congress

DB/rc

Enclosure

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Douglas Kent Bereuter

page 4 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Savings Account Calvert Group, Kansas City, MO	$1,001 - $15,000	INTEREST	$201 - $1,000	
	IRA Account, USAA, San Antonio, Texas	$15,001 - $50,000	INTEREST	NONE	
SP	IRA Account, USAA, San Antonio, Texas	$15,001 - $50,000	INTEREST	NONE	
JT	Checking Account, First Virginia Bank, Falls Church, VA	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Checking Account, Cornhusker Bank, Lincoln, NE	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Douglas Kent Bereuter

page 5 Of 7

	Approximately one-quarter shareholder in family corp. Owning 38 acres of land and residence in unincorporated Summit County, CO and a parcel with storage building in Utica, NE	$100,001 - $250,000	NONE	NONE	
SP	403(B)(7) Account, USAA San Antonio, Texas	$50,001 - $100,000	NONE	NONE	
JT	Congressional Federal Credit Union, Washington, DC	$1 - $1,000	INTEREST	$1 - $200	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Douglas Kent Bereuter

page 6 Of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute Grand Cayman Island U.S. Policy toward Cuba	Jan. 12-17	Wash., D.C. --Grand Cayman--Wash., D.C.	Y	Y	Y	none
World Economic Forum, Davos, Switzerland	Jan. 24-29	Wash., D.C. -- Zurich, Switzerland -- Wash., D.C.	Y	Y	Y	none
Aspen Institute, Helsinki, Finland U.S. Russia Relations	Aug. 19-26	Omaha, NE -- Helsinki, Finland -- Omaha, NE	Y	Y	Y	none
Kennedy School of Government Cambridge, MA (to receive an award)	Oct. 26-27	Wash., D.C. -- Boston, MA -- Wash., D.C.	Y	Y	N	none

SCHEDULE VIII - POSITIONS

Name Douglas Kent Bereuter

Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	Friends of the U.S. National Arboretum, Washington, DC

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Shelley Berkley (Full Name)
9709 Camden Hills Ave
Las Vegas, NV 89145 (Mailing Address)
202 225-5965 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: NV District: 01	☐ Officer or Employee	Employing Office:
Report Type	[✓ ☒ Annual (May 15)]	☐ Amendment	☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Shelley Berkley	May 14, 2002

Name **Shelley Berkley** Page 2 of 47

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source		Type	Amount
Examples:	Keene State State of Maryland Civil War Roundtable (Oct. 2nd) Ontario County Board of Education	Approved Teaching Fee Legislative Pension Spouse Speech Spouse Salary	$6,000 $9,000 $1,000 NA
Nephrology and Endocrine Associates		**Spouse Salary**	**NA**
Amgen		**Spouse Consulting**	**NA**

For payments to charity in lieu of honoraria, use Schedule II.

Name **Shelley Berkley** Page 3 of 41

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples:	SP	Mega Corp. Stock					X								X										X								P
DC,			Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah KY accounts						X									X										X						
SP			**BankWest Las Vegas NV**			X												X						X										
SP			**BusinessBank Las Vegas**		X													X						X										
SP			**Pentagon Fed Credit Union**		X													X						X										
			Pentagon Fed Credit Union		X													X						X										
			Congressional Fed Credit Union			X												X						X										
SP			**E-Trade**	X														X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name **Shelley Berkley**

Page 4 of 47

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Dialysis Systems, INC.	X												X												X						
	provided dialysis services																															
	sold- collecting old																															
	accounts																															
	3100 W Charleston LV NV																															
SP	Professional Facilities, INC					X								X												X						
	medical office building																															
	McDaniel St, North Las Vegas																															
	4133 N. Torrey Pines LV NV																															
SP	Quail Park V						X													Partnership						X						
	office complex																															
	Rancho and Alta																															
	Las Vegas NV																															
	500 S. Rancho LV NV																															
SP	Eastern Courtyard			X																Partnership				X								
	office complex																															
	Eastern and Viking																															
	Las Vegas, NV																															
	2020 Palomino #100 LV NV																															
SP	Metalast International				X															Patnership	X											
	anodizing aluminum																															
	2241 Park Place Minden NV																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name **Shelley Berkley**

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SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income						BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	**RRT, LLC provides dialysis services Summerlin area of Las Vegas, NV**								X											**partnership**								X				
SP	**Nephrology and Endocrine Associates- medical practice Las Vegas, NV**						X													**salary**												
SP	**Salomon Smith Barney for year end value, income and detailed transactions see attachment (2 accounts)**																															
SP	**Charles Schwab Trust One Account for year end value, income and detailed transactions see attachment**																															
SP	**Charles Schwab IRA for year end value, income and detailed transactions see attachment**																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name **Shelley Berkley** Page 6 of 47

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Nephrology & Endocrine																															
	Associates 401(K) Plan																															
	held by Putman Investments																															
	for year end values, income																															
	and detailed transactions																															
	see attachment																															
	Morgan Stanley Dean Witter																															
	IRA Account- for year end																															
	value, income and detailed																															
	transactions see attachement																															
	Morgan Stanley Dean Witter																															
	Roth IRA- for year end																															
	value, income and detailed																															
	transactions see attachment																															
SP	ITT Industries			X										X								X										P< 1000
SP	EnviroSystems			X																	X											
SP	Las Vegas Business Bank			X																	X											
SP	IBM			X										X								X										P< 1000
SP	Pfizer				X									X								X										P< 1000

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name **Shelley Berkley** Page 1 of 47

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None		C $1,001 – $15,000		E $50,001 – $100,000		G $250,001 – $500,000		I $1,000,001 – $5,000,000		K $25,000,001 – $50,000,000		DIVIDENDS		INTEREST		EXCEPTED TRUST		Other Type of Income (Specify)	I None		III $201 – $1,000		V $2,501 – $5,000		VII $15,001 – $50,000		IX $100,001 – $1,000,000		XI Over $5,000,000	P, S, E
JT	3466 Legendary LV NV					X									X											X						
SP	Morgan Stanley Dean Witter																															
	Active Assets Account																															
	for year end value, Income																															
	and detailed transactions																															
	see attachment																															
SP	Morgan Stanely Dean Witter																															
	IRA account- for year end																															
	value, Income and detailed																															
	transactions see attachment																															

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	[illegible]	SALE	[illegible]	(MO/DAY/YR)	[illegible]	C $15,001–$50,000	[illegible]	E $100,001–$250,000	[illegible]	G $500,001–$1,000,000	[illegible]	I $5,000,001–$25,000,000	[illegible]	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–00		X								
	See Attachments														

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B [illegible]	C $15,001– $50,000	D [illegible]	E $100,001– $250,000	F [illegible]	G $500,001– $1,000,000	H [illegible]	I $5,000,001– $25,000,000	J [illegible]	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
JT	Central National Bank	Mortgage on 3466 Legendary		X								
		LV NV										
JT	MBNA Master Card	revolving charge		X								
JT	AT&T Master Card	revolving charge	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. **Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold.**

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name **Shelley Berkley** Page 10 of 47

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American Israel Education		**26 Aug -**	**LV- Israel-Greece**	**Y**	**Y**	**Y**	**N**
Foundation		**2 Sep 01**					
United Hellenic American		**2 Sep -**	**Greece - Wash DC**	**Y**	**Y**	**Y**	**N**
Congress		**4 Sep 01**					

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NEPHROLOGY AND ENDOCRINE
ASSOCIATES 401(K) PLAN

Shelley Berkley NV-01

Statement

October 1, 2001 - December 31, 2001

LARRY M LEHRNER
187 REED LN
HENDERSON NV 89014

Date of Hire: 10/05/1987

Account Information

BALANCE	
[illegible]	[illegible]
Change This Period	$19,763.55
Ending Balance	$215,046.93
Vested Balance	$215,046.93

YOUR CURRENT INVESTMENT CHOICES (12/31/2001)	
Investment	[illegible]
Putnam Growth and Income Fund	10%
Putnam Voyager Fund	10%
Putnam Growth Opportunities	10%
Putnam International Growth	10%
Putnam Money Market Fund	60%

INVESTMENT SUMMARY

	Beginning Share Price [illegible]	Beginning Share Balance [illegible]	Beginning Market Value [illegible]	Ending Share Price [illegible]	Ending Share Balance [illegible]	Ending Market Value [illegible]
Putnam Growth and Income Fund	$16.9800	3,311.491	$56,229.12	$17.7200	3,399.980	$60,247.65
Putnam Voyager Fund	$16.3200	515.806	$8,417.96	$17.3000	558.997	$9,670.64
Putnam Growth Opportunities	$13.1000	3,368.034	$44,121.24	$14.8500	3,391.531	$50,364.23
Putnam International Growth	$18.2900	3,754.204	$68,664.39	$19.8200	3,771.919	$74,759.43
Putnam Money Market Fund	$1.0000	17,850.668	$17,850.67	$1.0000	20,004.978	$20,004.98
TOTAL			[illegible]			$215,046.93

CONTRIBUTION SUMMARY

[illegible]	Contributions This Period	Contributions Year-To-Date	Vested Percent	Vested Dollars
Employee Pre-Tax	$2,621.70	$10,148.26	100%	$116,263.66
Employer Profit Sharing	$0.00	$16,158.79	100%	$72,611.13
Employer Match	$789.84	$3,464.79	100%	$26,172.14
TOTAL	$3,411.54	[illegible]		$215,046.93

Please verify this financial information and notify Putnam of any questions within 30 days of receipt. If you do not notify Putnam, we will assume the information on this statement is correct. Any corrections will be reflected on a subsequent statement.

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PUTNAM INVESTMENTS

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[illegible]

Shelley Berkley NV-01

		Putman 401(K)			
Date	Action	Security	Price	Shares	Total
1/4/2001	Buy	Money Market	1	64.46	64.46
1/4/2001	Buy	International Growth	24.48	6.581	161.1
1/4/2001	Buy	Growth Opportunities	22.16	7.27	161.1
1/4/2001	Buy	Voyager	23.24	6.931	161.08
1/4/2001	Buy	Fund for Growth and Income	19.5	4.957	96.66
1/26/2001	ReinvDiv	Money Market	1	0.01	0.01
1/31/2001	ReinvDiv	Money Market	1	7.82	7.82
2/5/2001	Buy	Money Market	1	57.23	57.23
2/5/2001	Buy	International Growth	24.22	5.906	143.04
2/5/2001	Buy	Growth Opportunities	21.9	6.531	143.03
2/5/2001	Buy	Voyager	23.16	6.175	143.01
2/5/2001	Buy	Fund for Growth and Income	20	4.291	85.82
2/16/2001	Buy	Money Market	1	56.87	56.87
2/16/2001	Buy	International Growth	23.06	6.164	142.14
2/16/2001	Buy	Growth Opportunities	20.07	7.083	142.16
2/16/2001	Buy	Voyager	22	6.461	142.14
2/16/2001	Buy	Fund for Growth and Income	19.76	4.316	85.28
2/28/2001	ReinvDiv	Money Market	1	10.24	10.24
3/5/2001	ReinvDiv	Fund for Growth and Income	19.3	11.408	220.17
3/12/2001	Buy	Fund for Growth and Income	18.75	3.032	56.85
3/12/2001	Buy	Voyager	19.26	2.951	56.84
3/12/2001	Buy	Growth Opportunities	16.37	3.473	56.85
3/12/2001	Buy	International Growth	22.26	2.554	56.85
3/12/2001	Buy	Money Market	1	341.19	341.19
3/13/2001	Buy	Fund for Growth and Income	18.85	85.72	1,615.82
3/13/2001	Buy	Voyager	19.7	82.02	1,615.79
3/13/2001	Buy	Growth Opportunities	16.94	95.39	1,615.91
3/13/2001	Buy	International Growth	21.72	74.4	1,615.97
3/13/2001	Buy	Money Market	1	9,695.28	9,695.28
3/19/2001	Buy	Fund for Growth and Income	18.44	2.473	45.6
3/19/2001	Buy	Voyager	19.17	2.379	45.61
3/19/2001	Buy	Growth Opportunities	16.46	2.771	45.61
3/19/2001	Buy	International Growth	21.1	2.162	45.62
3/19/2001	Buy	Money Market	1	273.71	273.71
3/26/2001	Buy	Fund for Growth and Income	18.05	3.149	56.84
3/26/2001	Buy	Voyager	18.83	3.019	56.85
3/26/2001	Buy	Fund for Growth and Income	16.16	3.518	56.85
3/26/2001	Buy	International Growth	21.24	2.677	56.86
3/26/2001	Buy	Money Market	1	341.19	341.19
3/30/2001	ReinvDiv	Money Market	1	36.34	36.34
4/9/2001	Buy	Fund for Growth and Income	18.23	3.119	56.86
4/9/2001	Buy	Voyager	18.48	3.076	56.84
4/9/2001	Buy	Growth Opportunities	15.36	3.701	56.85
4/9/2001	Buy	International Growth	21.55	2.638	56.85
4/9/2001	Buy	Money Market	1	341.19	341.19
4/17/2001	Buy	Fund for Growth and Income	18.84	3.018	56.86
4/17/2001	Buy	Voyager	19.46	2.921	56.84
4/17/2001	Buy	Growth Opportunities	16.61	3.422	56.84
4/17/2001	Buy	International Growth	21.55	2.638	56.85
4/17/2001	Buy	Money Market	1	341.19	341.19
4/30/2001	Buy	Fund for Growth and Income	19.41	2.929	56.85
4/30/2001	Buy	Voyager	20.57	2.764	56.86
4/30/2001	Buy	Growth Opportunities	18.04	3.151	56.84
4/30/2001	Buy	International Growth	22.53	2.523	56.84

Shelley Berkley NV-01

4/30/2001	ReinvDiv	Money Market	1	398.8	398.8
5/21/2001	Buy	Money Market	1	341.19	341.19
5/21/2001	Buy	Fund for Growth and Income	20.29	2.802	56.85
5/21/2001	Buy	Voyager	21.77	2.612	56.86
5/21/2001	Buy	International Growth	22.76	2.498	56.85
5/21/2001	Buy	Growth Opportunities	19.21	2.959	56.84
5/31/2001	ReinvDiv	Money Market	1	56.1	56.1
6/1/2001	Buy	Fund for Growth and Income	19.84	2.865	56.84
6/1/2001	Buy	Voyager	20.69	2.748	56.86
6/1/2001	Buy	Growth Opportunities	17.96	3.166	56.86
6/1/2001	Buy	International Growth	21.93	2.592	56.84
6/1/2001	Buy	Money Market	1	341.19	341.19
6/5/2001	ReinvDiv	Fund for Growth and Income	20.04	11.408	228.62
6/15/2001	Buy	Money Market	1	341.19	341.19
6/15/2001	Buy	Voyager	19.8	2.872	56.87
6/15/2001	Buy	Fund for Growth and Income	19.1	2.976	56.84
6/15/2001	Buy	Growth Opportunities	17.03	3.338	56.85
6/15/2001	Buy	International Growth	21.52	2.642	56.86
6/29/2001	ReinvDiv	Money Market	1	49.12	49.12
7/10/2001	Buy	Money Market	1	682.38	682.38
7/10/2001	Buy	Voyager	19.1	5.952	113.68
7/10/2001	Buy	Fund for Growth and Income	18.68	6.086	113.69
7/10/2001	Buy	Growth Opportunities	16.26	6.992	113.69
7/10/2001	Buy	International Growth	20.74	5.484	113.74
7/31/2001	ReinvDiv	Money Market	1	51.41	51.41
8/3/2001	Buy	Money Market	1	341.19	341.19
8/3/2001	Buy	Voyager	19.64	2.895	56.86
8/3/2001	Buy	Fund for Growth and Income	19.13	2.972	56.85
8/3/2001	Buy	Growth Opportunities	16.35	3.477	56.85
8/3/2001	Buy	International Growth	2,097.00	2.711	5,684.97
8/13/2001	Buy	Money Market	1	341.19	341.19
8/13/2001	Buy	Voyager	19.18	2.964	56.85
8/13/2001	Buy	Fund for Growth and Income	18.92	3.005	56.85
8/13/2001	Buy	Growth Opportunities	15.86	3.585	56.86
8/13/2001	Buy	International Growth	20.56	2.765	56.85
8/31/2001	Buy	Money Market	1	341.19	341.19
8/31/2001	ReinvDiv	Money Market	1	47.91	47.91
8/31/2001	Buy	Voyager	18.08	3.144	56.84
8/31/2001	Buy	Fund for Growth and Income	18.29	3.109	56.86
8/31/2001	Buy	Growth Opportunities	14.64	3.883	56.85
8/31/2001	Buy	International Growth	20.27	2.804	56.84
9/5/2001	ReinvDiv	Fund for Growth and Income	18.27	12.626	230.68
9/17/2001	Buy	Money Market	1	341.19	341.19
9/17/2001	Buy	Voyager	16.35	3.477	56.85
9/17/2001	Buy	Fund for Growth and Income	16.95	3.354	56.85
9/17/2001	Buy	Growth Opportunities	12.99	4.376	56.84
9/17/2001	Buy	International Growth	18.1	3.141	56.85
9/28/2001	ReinvDiv	Money Market	1	41.08	41.08
10/8/2001	Buy	Money Market	1	341.19	341.19
10/8/2001	Buy	Voyager	16.73	3.398	56.85
10/8/2001	Buy	Fund for Growth and Income	17.09	3.326	56.84
10/8/2001	Buy	Growth Opportunities	13.57	4.19	56.86
10/8/2001	Buy	International Growth	18.81	3.023	56.86
10/9/2001	Buy	Money Market	1	341.19	341.19
10/9/2001	Buy	Voyager	16.61	3.422	56.84
10/9/2001	Buy	Fund for Growth and Income	17.1	3.325	56.86
10/9/2001	Buy	Growth Opportunities	13.45	4.226	56.84

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Shelley Berkley NV-01

10/9/2001	Buy	International Growth	18.73	3.036	56.86
10/31/2001	ReinvDiv	Money Market	1	42.59	42.59
11/19/2001	Buy	Money Market	1	682.38	682.38
11/19/2001	Buy	Voyager	18.13	6.272	113.71
11/19/2001	Buy	Fund for Growth and Income	17.92	6.344	113.68
11/19/2001	Buy	Growth Opportunities	15.21	7.474	113.68
11/19/2001	Buy	International Growth	19.68	5.778	113.71
11/30/2001	ReinvDiv	Money Market	1	33.29	33.29
11/30/2001	ReinvDiv	Money Market	1	33.29	33.29
12/4/2001	Buy	Fund for Growth and Income	17.82	3.19	56.85
12/4/2001	Buy	Growth Opportunities	15.13	3.757	56.85
12/4/2001	Buy	International Growth	19.53	2.911	56.85
12/4/2001	Buy	Money Market	1	341.19	341.19
12/4/2001	Buy	Voyager	18.09	3.143	56.85
12/5/2001	ReinvDiv	Fund for Growth and Income	17.75	68.991	1,224.59
12/5/2001	ReinvDiv	Voyager	17.74	23.603	418.72
12/14/2001	Buy	Fund for Growth and Income	17.16	3.313	56.85
12/14/2001	Buy	Growth Opportunities	14.77	3.849	56.85
12/14/2001	Buy	International Growth	19.16	2.967	56.85
12/14/2001	Buy	Money Market	1	341.19	341.19
12/14/2001	Buy	Voyager	16.95	3.354	56.85
12/30/2001	ReinvDiv	Money Market	1	31.29	31.29

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Shelley Berkley NV-01 **Stock/Bond Purchases Year 2001 (not listed on brokerage statements)**

SP,DC,JT	Date	Account	Action	Security	Price	Shares	Cost
SP	2/14/2001	Dean Witter- IRA	Buy	American International Group	87.42	154	13,678.46
SP	2/14/2001	Dean Witter- IRA	Buy	General Electric	46.5	290	13,753.34
SP	2/23/2001	Dean Witter- IRA	Buy	Ten Industrials	9.668	3,959.00	38,275.81
SP	3/12/2001	Dean Witter- IRA	Buy	Pepico	46	200	9,390.38
SP	3/12/2001	Dean Witter- IRA	Buy	MMM	115.5	80	9,349.35
SP	4/2/2001	Dean Witter- IRA	Buy	Johnson & Johnson	86.16	100	8,698.60
SP	4/30/2001	Dean Witter- IRA	Buy	Dupont Photmask	52	150	7,800.00
SP	5/2/2001	Dean Witter- IRA	Buy	ARCH Coal	33	300	9,900.00
SP	5/23/2001	Dean Witter- IRA	Buy	Charter Communications	21	500	10,500.00
SP	6/15/2001	Dean Witter- IRA	Buy	Kraft	31	400	12,400.00
SP	7/5/2001	Dean Witter- IRA	Buy	GM Note 7.25	25	400	10,000.00
SP	7/9/2001	Dean Witter- IRA	Buy	MRGN STAN CAP II	25	600	15,000.00
SP	8/29/2001	Dean Witter- IRA	Buy	Wells Fargo CAP	25	570	14,250.00
SP	9/17/2001	Dean Witter- IRA	Buy	Citigroup VIII 6.95	25	600	15,000.00
SP	12/20/2001	Dean Witter- IRA	Buy	Phoenix Cos	25	200	5,000.00
SP	1/17/2001	Dean Witter- Trust	Buy	High-Tech 35 Index 01-1	10.852	3,324.00	36,070.39
SP	1/19/2001	Fisher Investments	Buy	Purisima Pure American Fund	12.63	50,792.00	641,502.96
SP	1/25/2001	Fisher Investments	Buy	Purisima Pure Foreign Fund	14.64	94,679.00	1,386,100.56
	11/13/2001	Shelley's IRA	Buy	AOL Time Warner	36.18	100	3,667.65
	7/11/2001	Shelley's Roth	Buy	Akamai	7.58	370	2,890.96

Shelley Berkley NV-01 SALOMONSMITHBARNEY

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB

Account Number [redacted] **SS #** [redacted]

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is ***not provided to the IRS.***

Value of your portfolio

Description	Amount
Combined account balance	$ .28
Money funds	2,085,972.97
Value of your account on 12/31/01	$ 2,085,973.25
Value of your account on 12/31/00	$ 2,181,204.60

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Interest *	$ 4,114.91		$ 4,114.91
Dividends **	110,669.32		110,669.32
Totals	**$ 114,784.23**		**$ 114,784.23**

**If you received accrued interest, it is included in this amount.*
***Includes money funds earnings and capital gain distributions.*

Summary of miscellaneous tax withheld 2001

The following taxes have been withheld in compliance with U.S. federal or foreign regulations.

Description	Amount
Foreign tax paid	$ 66.98
Total	**$ 66.98**

2001 YEAR END SUMMARY

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] **SS #** [redacted]

2001 YEAR END SUMMARY

Details of 1099 Reported Interest Income 2001

The following details show how we derived your total interest reported on Form 1099-INT. Amounts in Box 1 and Box 3 include any taxable accrued interest received.

Reference number	Description	Interest income not included in box 3 (Box 1)	Early withdrawal penalty (Box 2)	US Savings Bonds and other US Treasury interest (Box 3)	Federal income tax withheld (Box 4)	Investment expenses (Box 5)	Foreign tax paid (Box 6)
130000100	COMPENSATION INTEREST	$ 23.89					
130000200	INTEREST ON CREDIT BALANCE	4,091.02					
Totals in Boxes 1-6		$ 4,114.91					

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	[illegible]% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	*** BANCO BILBAO VIZCAYA-SP ADR-ARGENTARIA THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 108.00						
150000200	BELLSOUTH CORP	114.00						
150000300	BRISTOL MYERS SQUIBB CO	123.75						
150000400	GENERAL ELECTRIC CO	120.00						
150000500	*** GLAXOSMITHKLINE PLC SPONS ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	476.37						
150000600	MERCK & CO INC	170.00						
150000700	PHILIP MORRIS COS INC	898.00						
150000800	PROCTER & GAMBLE CO	175.00						
150000900	PURISIMA PURE AMERICAN FUND	12,979.72	22,802.45	1,481.28				
150001000	PURISIMA PURE FOREIGN FUND	26,575.80	22,850.17	3,133.39				

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] *SS #* [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e *- continued*

Reference number	Description	Ordinary dividends*	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
		(Box 1)						
150001100	SB MONEY FUNDS CASH PORT CL A	$ 18,866.38						
150001200	WAL-MART STORES INC	36.00						
Totals		$ 60,402.03	$ 46,652.62	$ 4,614.67				

The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150000100	*** BANCO BILBAO VIZCAYA-SP ADR-ARGENTARIA THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 19.44			
150000500	*** GLAXOSMITHKLINE PLC SPONS ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				47.54			
Totals					$ 66.98			

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	200	AGILENT TECHNOLOGIES INC	12/07/00	01/05/01	$ 10,870.08	$ 10,833.10		$ 36.98

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] **SS #** [redacted]

Details of Short Term Gain (Loss) 2001 - *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000400	300	ASTRAZENECA PLC SPON ADR GBP CTSY WEEDEN & CO GENERATED- 11/14/00 SPN CANCEL	10/04/00	01/17/01	$ 14,096.19	$ 15,121.39	($ 1,025.20)	
125000600	150	AXA UAP SPONS ADR CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 39.00 AND SEC FEE OF 1.45	02/03/00	01/16/01	9,999.78	10,013.96	(14.18)	
125000700	1,150	BASF AG SPONS ADR CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 69.00 AND SEC FEE OF 1.65	09/19/00	01/18/01	49,364.93	40,436.60		8,928.33
125000900	3,250	BANCO SANTANDER CENT HISPANO S ADR CTSY JEFFERIES & CO INC PRIN INCL COMM OF 162.50	01/31/00	01/16/01	36,248.59	32,428.55		3,820.04
125001500	600	COCA-COLA CO CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 24.00 AND SEC FEE OF 1.11	10/04/00	01/18/01	33,280.29	34,097.[illegible]	(816.99)	
125001700	900	ENEL SOCIETA PER AZIONI ADR CTSY CANTOR FITZGERALD & CO. PRIN INCL COMM OF 45.00	09/13/00	01/19/01	33,059.53	34,464.48	(1,404.95)	
125001900	925	FIRST UNION CORP	12/13/00	01/04/01	28,831.29	24,607.04		4,224.25
125002100	500	FUJI PHOTO FILM CO LTD ADR NEW -USD- CTSY CANTOR FITZGERALD & CO. AND SEC FEE OF 1.63	01/21/00	01/16/01	19,674.09	20,543.89	(869.80)	
125002300	650	GLAXOSMITHKLINE PLC SPONS ADR -USD- CTSY GOLDMAN SACHS & CO PRIN INCL COMM OF 39.00	01/24/00	01/17/01	33,942.93	33,937.98		4.95
125002600	250	ING GROEP NV SPONS ADR CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 48.00 AND SEC FEE OF 2.03	02/04/00	01/18/01	19,037.28	13,630.13		5,407.15

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB

Account Number [redacted] SS # [redacted]

Details of Short Term Gain (Loss) 2001 *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002900	1,100	ISHARES MSCI SWEDEN INDEX FUND CTSY GOLDMAN SACHS & CO PRIN INCL COMM OF 44.00	12/18/00	01/10/01	$ 19,931.07	$ 20,018.50	($ 87.43)	
125003000	7,875	ISHARES MSCI JAPAN INDEX FUND CTSY GOLDMAN SACHS & CO PRIN INCL COMM OF 315.00	12/06/00	01/10/01	84,231.29	94,322.85	(10,091.56)	
125003300	2,000	MATSUSHITA ELEC INDL ADR CTSY WEEDEN & CO PRIN INCL COMM OF 120.00 AND SEC FEE OF 1.53	02/03/00	01/18/01	45,655.07	54,292.60	(8,637.53)	
125003600	100	NEC CORP ADR -USD- CTSY CANTOR FITZGERALD & CO. AND SEC FEE OF 1.54 SALOMON SMITH BARNEY	02/08/00	01/05/01	9,212.74	10,763.92	(1,551.18)	
125003700	400	NATIONAL AUSTRALIA BK LTD SPONSORED ADR -USD- CTSY WEEDEN & CO PRIN INCL COMM OF 24.00	03/21/00	01/18/01	31,097.00	26,433.48		4,663.52
125003900	400	NORSK HYDRO A S SPONSORED ADR-USD CTSY JEFFERIES & CO INC PRIN INCL COMM OF 51.00	02/09/00	01/10/01	17,687.63	15,906.08		1,781.55
125004000	862	PFIZER INC	03/08/00	01/17/01	39,220.70	30,254.92		8,965.78
125004200	250	PROCTER & GAMBLE CO	08/13/00	01/22/01	17,275.35	14,086.23		3,189.12
125004300	48,290	PURISIMA PURE AMERICAN FUND	01/19/01	08/28/01	592,974.90	584,642.70		8,332.20
125004400	87,261	PURISIMA PURE FOREIGN FUND	01/25/01	08/28/01	1,293,504.42	1,277,793.84		15,710.58
125004500	250	ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR	02/15/00	01/18/01	14,846.80	14,048.93		797.87
125005000	37.1274	SYNGENTA AG ADR	10/04/00	01/24/01	428.64	339.72		88.92
125005200	400	TELEFONICA S.A. SPONS ADR CTSY CANTOR FITZGERALD & CO. PRIN INCL COMM OF 20.00	10/04/00	01/17/01	22,884.56	24,722.40	(1,837.84)	

2001 YEAR END SUMMARY

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] *SS #* [redacted]

2001 YEAR END SUMMARY

Details of Short Term Gain (Loss) 2001 - *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125005400	150	TOTAL FINA ELF S.A. SPONS ADR-USD CTSY WEEDEN & CO PRIN INCL COMM OF 38.00	02/04/00	01/16/01	$ 10,936.14	$ 9,880.51		$ 1,055.63
125005500	900	UNILEVER NV NEW YORK SHS -NEW- CTSY MORGAN STANLEY & CO. INC PRIN INCL COMM OF 45.00	02/02/00	01/18/01	49,325.94	40,409.10		8,916.84
125005700	440	VIVENDI UNIVERSAL SPON ADR CTSY BRIDGE TRADING CO PRIN INCL COMM OF 17.60 AND SEC FEE OF 1.04	01/27/00	01/17/01	31,143.22	33,479.49	(2,336.27)	
125005800	1,450	VOLVO AKTIEBOLAGET ADR B -USD- CTSY CANTOR FITZGERALD & CO. AND SEC FEE OF 0.83	09/27/00	01/12/01	24,833.55	23,263.43		1,570.12
Total					$ 2,583,494.00	$ 2,544,775.16	($ 28,772.99)	$ 77,491.83

Details of Long Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000200	450	ALCATEL SA ADR	01/13/98	01/05/01	$ 25,339.23	$ 11,482.87		$ 13,856.36
125000300	375	AMER INTERNATIONAL GROUP INC	09/23/98	01/19/01	31,507.05	16,341.00		15,166.05
125000400	807	ASTRAZENECA PLC SPON ADR GBP CTSY WEEDEN & CO GENERATED- 11/14/00 SPN CANCEL	04/07/99	01/17/01	37,918.74	36,599.04		1,319.70
125000500	800	AVENTIS SPONS ADR	01/28/00	02/01/01	62,851.90	42,134.68		20,717.22
125000600	600	AXA UAP SPONS ADR CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 39.00 AND SEC FEE OF 1.45	09/29/98	01/16/01	33,332.00	23,665.00		9,667.00

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] SS #[redacted]

Details of Long Term Gain (Loss) 2001 *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000800	1,800	BANCO BILBAO VIZCAYA-SP ADR-ARGENTARIA CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 108.00	01/09/98	01/10/01	$ 27,553.78	$ 19,761.96		$ 7,791.82
125001000	600	BELLSOUTH CORP CTSY BRIDGE TRADING CO PRIN INCL COMM OF 24.00 AND SEC FEE OF 0.86	12/30/97	01/19/01	25,607.32	17,101.50		8,505.82
125001100	4 15	BERKSHIRE HATHAWAY INC CLASS B CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 1.14 AND SEC FEE OF 1.42	09/22/98 11/29/99	01/08/01	8,966.82 33,625.57	7,892.57 28,048.34		1,074.25 5,577.23
125001200	450	BRISTOL MYERS SQUIBB CO	01/09/98	01/05/01	29,109.62	20,975.62		8,134.00
125001300	700	CISCO SYS INC CTSY INSTINET CLEARING SERVICE PRIN INCL COMM OF 35.00 AND SEC FEE OF 1.01	01/12/98	01/04/01	30,200.12	6,287.46		23,912.66
125001400	600	CITIGROUP INC SALOMON SMITH BARNEY IS A CITIGROUP OWNED CO.	10/23/98	01/05/01	32,271.48	13,880.25		18,391.23
125001600	550	DEUTSCHE TELEKOM AG SPON ADR CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 33.00	01/09/98	01/04/01	17,826.40	9,875.25		7,951.15
125001800	400	EXXON MOBIL CORP	01/02/98	01/05/01	33,528.52	24,757.00		8,771.52
125002000	1,046	FORD MOTOR COMPANY PAR 0.01	01/08/98	01/04/01	28,127.38	17,759.08		10,368.30
125002100	900	FUJI PHOTO FILM CO LTD ADR NEW -USD- CTSY CANTOR FITZGERALD & CO. AND SEC FEE OF 1.83	12/26/97	01/18/01	35,233.36	33,597.00		1,636.36
125002200	300 450	GENERAL ELECTRIC CO	12/30/97 11/06/98	01/22/01	13,816.76 20,725.14	7,352.27 13,661.25		6,464.49 7,063.89
125002400	300	HITACHI LTD-ADR-10 COM-NEW USD CTSY CANTOR FITZGERALD & CO. PRIN INCL COMM OF 15.00	12/30/97	01/16/01	25,284.36	21,300.60		3,983.76
125002500	650	HOME DEPOT INC	07/30/99	01/03/01	32,755.73	27,738.58		5,019.15

2001 YEAR END SUMMARY

Shelley Berkley NV-01

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] **SS** [redacted]

Details of Long Term Gain (Loss) 2001 *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125002600	550	ING GROEP NV SPONS ADR CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 46.00 AND SEC FEE OF 2.03	01/13/98	01/18/01	$ 41,882.01	$ 23,625.25		$ 18,256.76
125002700	600	INTEL CORP CTSY INSTINET CLEARING SERVICE PRIN INCL COMM OF 40.00 AND SEC FEE OF 0.87	01/02/98	01/05/01	25,894.53	14,224.03		11,670.50
125002800	300	INTL BUSINESS MACHINES CORP	01/09/98	01/04/01	28,675.04	15,196.12		13,478.92
125003100	300	JOHNSON & JOHNSON	07/13/98	01/17/01	27,543.39	21,436.50		6,106.89
125003200	200	ELI LILLY & CO	01/07/98	01/04/01	16,149.46	13,891.00		2,258.46
	200		04/30/99		16,149.46	14,693.44		1,456.02
125003400	350	MERCK & CO INC	01/12/98	01/22/01	28,936.61	18,516.32		10,420.29
	150		11/29/99		12,401.41	12,018.58		382.83
125003500	350	MICROSOFT CORP CTSY B-TRADE SERVICES, L.L.C PRIN INCL COMM OF 14.00 AND SEC FEE OF 0.57	10/13/98	01/05/01	17,148.71	17,200.31	(51.60)	
125003600	400	NEC CORP ADR -USD- CTSY CANTOR FITZGERALD & CO. AND SEC FEE OF 1.54 SALOMON SMITH BARNEY	01/08/98	01/05/01	36,850.97	21,558.57		15,292.40
125003800	900	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	12/26/97	01/22/01	34,867.90	3,660.75		31,207.15
125003900	450	NORSK HYDRO A S SPONSORED ADR-USD CTSY JEFFERIES & CO INC PRIN INCL COMM OF 51.00	01/06/98	01/10/01	19,898.58	21,101.63	(1,203.05)	
125004000	800	PFIZER INC	01/15/99	01/17/01	32,615.97	30,771.33		1,844.64
125004100	600	PHILIP MORRIS COS INC	01/12/98	01/18/01	25,683.16	27,423.00	(1,739.84)	
	600		04/19/99		25,683.16	21,498.00		4,185.16
125004200	250	PROCTER & GAMBLE CO	01/12/98	01/22/01	17,275.35	19,990.18	(2,714.83)	
125004500	500	ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR	12/26/97	01/18/01	29,693.61	26,727.50		2,966.11
125004600	650	SBC COMMUNICATIONS INC	07/16/98	01/03/01	33,567.68	26,620.75		6,946.93

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB

Account Number [redacted] *SS #* [redacted]

Details of Long Term Gain (Loss) 2001 - *continued*

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125004700	940	SAN PAOLO-IMI SPA, TORINO-ITL CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 56.40	12/26/97	01/16/01	$ 31,397.90	$ 19,998.00		$ 11,399.90
125004800	600	SCHERING PLOUGH CORP	01/20/99	01/05/01	31,274.50	32,825.22	(1,550.72)	
125004900	450	SONY CORP-ADR-AMERICAN SHS NEW CTSY JEFFERIES & CO INC PRIN INCL COMM OF 27.00	07/30/98	01/16/01	33,976.87	28,178.13		5,798.74
125005000	99.8726	SYNGENTA AG ADR	04/07/99	01/24/01	1,153.03	822.24		330.79
125005100	800	TELE DANMARK A/S SPON ADR REPSTG CL B SHS -USD- CTSY CAPITAL INSTITUTIONAL SER PRIN INCL COMM OF 46.00	01/13/98	01/04/01	19,053.46	13,432.00		5,621.46
125005300	8	TELEFONICA S.A. SPONS ADR	Unavailable	02/20/01	386.55			
125005400	450	TOTAL FINA ELF S.A. SPONS ADR-USD CTSY WEEDEN & CO PRIN INCL COMM OF 36.00	01/09/98	01/16/01	32,608.40	21,681.00		10,947.40
125005600	600	VERIZON COMMUNICATIONS	01/07/98	01/03/01	32,241.00	26,917.60		5,323.50
125005900	600	WAL-MART STORES INC	08/26/98	01/05/01	32,336.58	20,780.25		11,556.33
Total					$ 1,271,249.18	$ 816,236.62	($ 7,260.04)	$ 362,873.76

Details of Deposits and Withdrawals 2001

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	01/12/01	MANAGEMENT FEE PER AGREEMENT		$ 6,137.30
220000300	07/10/01	MANAGEMENT FEE PER AGREEMENT		6,144.64
Total				**$ 24,458.88**

Reference number	Date	Description	Referral number	Amount
220000200	04/09/01	MANAGEMENT FEE PER AGREEMENT		$ 6,330.08
220000400	10/10/01	MANAGEMENT FEE PER AGREEMENT		5,846.86

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] **SS** [redacted]

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is not provided to the IRS.

Value of your portfolio

Description	Amount
Bank deposit program - principal	$ 176,460.97
Bank deposit program - accrued interest	7.45
Value of your account on 12/31/01	**[illegible]**

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Interest *	$ 1,380.26		$ 1,380.26
Dividends **	8,248.61		8,248.61
Totals	**$ 9,628.87**		**$ 9,628.87**

**If you received accrued interest, it is included in this amount.*
***Includes money funds earnings and capital gain distributions.*

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Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] **SS #** [redacted]

Details of 1099 Reported Interest Income 2001

The following details show how we derived your total interest reported on Form 1099-INT. Amounts in Box 1 and Box 3 include any taxable accrued interest received.

Reference number	Description	Interest income not included in box 3 (Box 1)	Early withdrawal penalty (Box 2)	US Savings Bonds and other US Treasury interest (Box 3)	Federal income tax withheld (Box 4)	Investment expenses (Box 5)	Foreign tax paid (Box 6)
130000100	CITIBANK NEVADA BANK DEPOSIT PROGRAM	$ 26					
130000200	CITIBANK FSB BANK DEPOSIT PROGRAM	820.21					
130000300	CITIBANK NA BANK DEPOSIT PROGRAM	157.85					
130000400	COMPENSATION INTEREST	2.14					
Totals in Boxes 1-6		$ 1,380.26					

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	PURISIMA PURE AMERICAN FUND	$ 1,262.38	$ 2,217.59	$ 144.06				
150000200	PURISIMA PURE FOREIGN FUND	2,422.11	1,936.80	265.59				
Totals		$ 3,684.47	$ 4,164.49	$ 409.65				

** The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.*

27747

Shelley Berkley NV-01

SALOMON SMITH BARNEY
A member of citigroup

Ref: 00005876 00124499

Page 6 of 6

Prime Broker Statement
2001 Year End Summary

CITIBANK FSB
Account Number [redacted] **SS #** [redacted]

Details of Investment Activity 2001

This section shows your purchases, sales, dividend reinvestments and certain other activity of securities during the year. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Transaction Description	Transaction	Trade Date	Quantity	Price	Amount
120000100	PURISIMA PURE AMERICAN FUND	Sold	08/28/01	-4,502	$ 12.81	$ 57,670.62 [a]
120000200	PURISIMA PURE FOREIGN FUND	Sold	08/28/01	-7,398	14.82	109,638.36 [a]
Total securities sold and other additions						$ 167,308.98

[a] *This amount reported to the IRS on Form 1099-B.*

Details of Deposits and Withdrawals 2001

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	10/10/01	MANAGEMENT FEE PER AGREEMENT		$ 476.86
Total				$ 476.86

As you requested, copies of this document have also been sent to: FISHER INVESTMETNTS

Shelley Berkley NV-01

CharlesSchwab
Member, New York Stock Exchange
SIPC

Schwab One® Trust Account | **Statement Period: December 1, 2001 to December 31, 2001**
Account Number: [redacted] | **Last Statement: November 30, 2001**

Account Opened in: 1994
Page 1

Visit our website at: schwab.com
Questions? Call 1-800-435-8804

31/12-BNBD0203-012841-SML-891458610008 169848 1-2
LAWRENCE M LEHRNER TTEE
LEHRNER FAMILY LIVING TRUST
U/A DTD 02/22/1996
9709 CAMDEN HILLS AVE
LAS VEGAS NV 89145-8610

012841

Account Value Summary	
Cash & Sweep Money Market Funds	$ 127,691.97
Investments	$ 175,017.19
Total Account Value	**$ 302,709.16**

Change In Value Summary	
Change in Value Since November 30, 2001:	$ (1,879.39)
Change in Value Since January 1, 2001:	$ 93,889.57

Rate Summary	
Schwab Muni MMF	1.17%

Investment Detail

Description	*Symbol*	*Quantity Long/Short*		*Price*	*Market Value*
Cash and Money Market Funds (Sweep)					
SCH MUNI MONEY FUND	SWXXX	127,691.9700	L	$ 1	$ 127,691.97
Investments					
SCUDDER HIGH YIELD TAX◊ FREE FUND CL S	SHYTX	6,573.9810	L	$ 12.3500	$ 81,188.67
DAVITA INC	DVA	500	L	24.4500	12,225.00
HARTFORD FINL SVCS GRP◊	HIG	87.2959	L	62.8300	5,484.80
I T T INDUSTRIES INC◊ INDIANA	ITT	19.3280	L	50.5000	976.06
INTL BUSINESS MACHINES◊	IBM	40.8929	L	120.9600	4,946.41
PFIZER INCORPORATED◊	PFE	613.0240	L	39.8500	24,429.01
DREYFUS S&P 500 INDEX◊	PEOPX	465.3910	L	33.4200	15,553.37
JANUS WORLDWIDE FUND◊	JAWWX	689.1850	L	43.8400	30,213.87
Total Account Value					**$ 302,709.16**

C00012841010ZV

Transaction Detail

Settle Date	*Trade Date*	*Transaction*	*Description*	*Quantity*	*Price*	*Total*
Cash Activity						
12/06	12/06	Div For Reinvest	PFIZER INCORPORATED			$ 67.26

◊ *Dividends paid on this security will be automatically reinvested.*

8744

Shelley Berkley NV-01

Charles Schwab **Form 1099**

TAX YEAR 2001

Page 2
Date Prepared: January 18, 2002

[illegible]

CHARLES SCHWAB & CO., INC.
101 MONTGOMERY ST.
SAN FRANCISCO, CA 94104

Federal ID Number: [redacted]

Recipient's Name and Address

LAWRENCE M LEHRNER TTEE
LEHRNER FAMILY LIVING TRUST
U/A DTD 02/22/1996
9709 CAMDEN HILLS AVE
LAS VEGAS NV 89145

Taxpayer ID Number: [redacted]
Account Number: LV [redacted]

SUMMARY INFORMATION (continued)

Department of the Treasury-Internal Revenue Service

Copy B for Recipient (OMB No. 1545-0715)

1A-Sale Date	**	*1B-Cusip Number*	*Quantity*	*5-Description*	*2-Sale Proceeds (Less Commission)*	***4-Federal Income Tax Withheld***
01/26/01	S	811170208	400.0000	SCUDDER HI YIELD TX FREE	$ 4,972.00	$ 0.00
12/14/01	S	337941108	137.7660	FIRSTHAND TECHNOLOGY	5,725.55	0.00
12/14/01	S	665162798	428.4340	NORTHERN TECHNOLOGY FUND	5,453.96	0.00
		Total Proceeds From Broker Transactions (Less Commissions)			$ 16,151.51	
		Total Federal Income Tax Withheld				$ 0.00

**** ACTIVITY CODES**
C = Cash in lieu
CV = Conversion
E = Exchange
M = Cash Merger
P = Principal
R = Redemption
S = Sale
SS = Short Sale
T = Tender

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a tax return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the I.R.S. determines that it has not been reported. If you should have any questions regarding information being reported on this form please call us at 1-800-435-4000.

Printed on Recycled Paper

Keep this statement for your records.

1779787 4567237

14/96

CharlesSchwab **Form 1099**

TAX YEAR 2001

Page 3
Date Prepared: January 18, 2002

Taxpayer ID Number: [redacted]
Account Number: [redacted]

ACCOUNT SUMMARY

The information in this and all subsequent sections is __not__ being provided to the IRS by Charles Schwab. It is being provided to you as additional tax reporting information that you may need to complete your tax return.

DETAIL INFORMATION

Dividends and Distributions

Cusip Number	*Description*	*Paid in 2001*	*Paid/Adjusted in 2002 for 2001*	*Amount*
Dividends				**1099 DIV-Box 1**
26200Q105	DREYFUS S&P 500 INDEX	$ 142.94	$ 0.00	$ 142.94
416515104	HARTFORD FINL SVCS GRP	86.42	0.00	86.42
450911102	I T T INDUSTRIES INC	11.50	0.00	11.50
459200101	INTL BUSINESS MACHINES	22.42	0.00	22.42
471023309	JANUS WORLDWIDE FUND	8.40	32.12	40.52
717081103	PFIZER INCORPORATED	267.96	0.00	267.96
Total Ordinary Dividends		$ 539.64	$ 32.12	$ 571.76

Cusip Number	*Description*	*Paid in 2001*	*Paid/Adjusted in 2002 for 2001*	*Amount*
Foreign Tax Paid				**1099 DIV-Box 6**
471023309	JANUS WORLDWIDE FUND	$ 0.00	$ (32.12)	$ (32.12)
Total Foreign Tax Paid		**$ 0.00**	**$ (32.12)**	**$ (32.12)**

SUPPLEMENTAL INFORMATION

[illegible]

Cusip Number	*Description*	*Paid in 2001*	*Paid/Adjusted in 2002 for 2001*	*Amount*
808515308	SCH MUNI MONEY FUND	$ 569.42	$ 0.00	$ 569.42
811170208	SCUDDER HI YIELD TX FREE	4,342.82	0.00	4,342.82
Total Tax-Exempt Dividends		**$ 4,912.24**	**$ 0.00**	**$ 4,912.24**

[illegible]

Activity	*Quantity*	*Security Description*	*Trade Date*	*Settle Date*	*Price*	*Net Amount*
REINVEST	0.3182	HARTFORD FINL SVCS GRP	01/03/01		67.5000	$ (21.48)
REINVEST	0.3668	HARTFORD FINL SVCS GRP	04/03/01		58.7800	(21.56)
REINVEST	0.3142	HARTFORD FINL SVCS GRP	07/03/01		68.9000	(21.65)
REINVEST	0.3793	HARTFORD FINL SVCS GRP	10/02/01		57.2900	(21.73)
REINVEST	0.0753	I T T INDUSTRIES INC	01/03/01		38.0000	(2.86)
REINVEST	0.0750	I T T INDUSTRIES INC	04/03/01		38.2600	(2.87)
REINVEST	0.0639	I T T INDUSTRIES INC	07/03/01		45.0500	(2.88)
REINVEST	0.0653	I T T INDUSTRIES INC	10/02/01		44.2600	(2.89)
REINVEST	0.0552	INTL BUSINESS MACHINES	03/13/01		95.8175	(5.29)

4/9/02

Shelley Berkley NV-01

Charles Schwab Form 1099

TAX YEAR 2001

Page 4
Date Prepared: January 18, 2002

Taxpayer ID Number: [redacted]
Account Number: [redacted]

ACCOUNT SUMMARY (CONTINUED)

SUPPLEMENTAL INFORMATION (continued)

[illegible]

Activity	Quantity	Security Description	Trade Date	Settle Date	Price	Net Amount
REINVEST	0.0490	INTL BUSINESS MACHINES	06/12/01		116.4023	(5.70)
REINVEST	0.0602	INTL BUSINESS MACHINES	09/17/01		94.8962	(5.71)
REINVEST	0.0474	INTL BUSINESS MACHINES	12/11/01		120.6237	(5.72)
REINVEST	1.5655	PFIZER INCORPORATED	03/09/01		42.6246	(66.73)
REINVEST	1.5309	PFIZER INCORPORATED	06/08/01		43.6990	(66.90)
REINVEST	1.7607	PFIZER INCORPORATED	09/07/01		38.0933	(67.07)
REINVEST	1.5540	PFIZER INCORPORATED	12/07/01		43.2824	(67.26)
Total Purchases/Adjustments - Stocks					**$**	**(388.30)**
Total Proceeds/Adjustments - Stocks					**$**	**0.00**

[illegible]

Activity	Quantity	Security Description	Trade Date	Settle Date	Price	Net Amount
REINVEST	4.2900	DREYFUS S&P 500 INDEX	12/21/01		33.3200	$ (142.94)
REINVEST	0.2000	JANUS WORLDWIDE FUND	12/14/01		42.0700	(8.40)
REINVEST	31.7930	SCUDDER HI YIELD TX FREE	01/31/01		12.4400	(395.50)
REINVEST	27.0940	SCUDDER HI YIELD TX FREE	02/28/01		12.4700	(337.86)
REINVEST	30.5140	SCUDDER HI YIELD TX FREE	03/30/01		12.4700	(380.51)
REINVEST	29.7610	SCUDDER HIGH YIELD TAX	04/30/01		12.3100	(366.36)
REINVEST	22.5490	SCUDDER HIGH YIELD TAX	05/23/01		12.3900	(279.38)
REINVEST	30.5210	SCUDDER HIGH YIELD TAX	06/25/01		12.4700	(380.60)
REINVEST	29.2600	SCUDDER HIGH YIELD TAX	07/25/01		12.5700	(367.80)
REINVEST	30.9800	SCUDDER HIGH YIELD TAX	08/27/01		12.7600	(395.31)
REINVEST	26.7530	SCUDDER HIGH YIELD TAX	09/24/01		12.6400	(338.16)
REINVEST	29.7700	SCUDDER HIGH YIELD TAX	10/25/01		12.6900	(377.78)
REINVEST	31.1200	SCUDDER HIGH YIELD TAX	11/26/01		12.5400	(390.25)
REINVEST	27.0320	SCUDDER HIGH YIELD TAX	12/21/01		12.3300	(333.31)
Total Purchases/Adjustments - Mutual Funds					**$**	**(4,494.16)**
Total Proceeds/Adjustments - Mutual Funds					**$**	**0.00**

Investment Activity for 2001 - Totals

Total Purchases/Adjustments(Not Reported to IRS):	**$**	**(4,882.46)**
Total Proceeds/Adjustments(Not Reported to IRS):	**$**	**0.00**

31847

Charles Schwab
Member, New York Stock Exchange
SIPC

Rollover IRA
Account Number: [redacted]

Statement Period: October 1, 2001 to December 31, 2001
Last Statement: September 30, 2001

Account Opened in: 1996
Page 1

Visit our website at: schwab.com
Questions? Call 1-800-435-8804

31/12-BNBD0203-012842-SML-891458610008 160852 *1-2
LAWRENCE M LEHRNER
CHARLES SCHWAB & CO INC.CUST
IRA ROLLOVER
9709 CAMDEN HILLS AVE
LAS VEGAS NV 89145-8610

012842

Account Value Summary	
Cash & Sweep Money Market Funds	$ 0.00
Investments	$ 44,530.09
Total Account Value	**$ 44,530.09**

Change in Value Summary	
Change in Value Since September 30, 2001:	$ 5,155.44
Change in Value Since January 1, 2001:	$ (7,620.38)

Investment Detail

Description	*Symbol*	*Quantity Long/Short*	*Price*	*Market Value*
Investments				
AMERICAN CENTURY ULTRA◊ FUND	TWCUX	1,611.0740 L	$ 27.6400	$ 44,530.09
	Total Account Value			**$ 44,530.09**

C000128420101V

Contribution Summary

	2000	*2001*
Traditional IRA	$ 0.00	$ 0.00
Year to Date Total:	**$0.00**	**$0.00**

◊ *Dividends paid on this security will be automatically reinvested.*

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Shelley Berkley NV-01

335-41

Morgan Stanley

RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 2001

PAGE 1 OF 5

Your Financial Advisor
MICHAEL NOVICK
SENIOR VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
3800 HOWARD HUGHES PKY STE 800
LAS VEGAS, NV 89109
(702) 737-8114

Account Number
[redacted]

IRA Rollover
Dated 08/11/97

ROCHELLE L BERKLEY 001878
8709 CAMDEN HILLS AVE
LAS VEGAS NV 89145-8810 137

Asset Summary

	Value	*% of Assets*
Money Market Funds	$39.50	0.0%
Stocks	3,210.00	5.8
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	52,587.99	94.2
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$55,837.49	100.0%
Cash	0.00	
Total Asset Value	$55,837.49	

Income Summary

	This Month	*Year-To-Date*
Money Market Funds	$0.00	$0.09
Stocks	0.00	0.00
Municipal Bonds	0.00	0.00
Corporate Fixed Income	0.00	0.00
Government Securities	0.00	0.00
Mutual Funds	0.00	0.00
Unit Investment Trusts	0.00	0.00
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$0.00	$0.09

Activity Summary

Total Asset Value November 30 2001		$55,386.73
Cash/Money Market Activity for December		
Closing Balance 11/30	$39.50	
Credits To Your Account		
Dividends and Interest	0.00	
Deposits	0.00	
Sales Proceeds/Redemptions	0.00	
Other Credits	82.89	
Total Credits	82.89	
Debits To Your Account		
Withdrawals	0.00	
Funds to Purchase Securities	-82.89	
Other Debits	0.00	
Total Debits	-82.89	
Closing Balance 12/31	39.50	
Net Change Cash/Money Market Activity		0.00
Changes in Asset Value for December		
Value of Priced Assets 11/30	$55,347.23	
Securities Bought	82.89	
Securities Received	0.00	
Securities Sold/Redeemed	0.00	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	367.87	
Value of Priced Assets 12/31	55,797.99	
Net Change in Asset Value		450.76
[illegible]		[illegible]

Please see page 4 for your Account's Retirement Recap.

Shelley Berkley NV-01

34 747

Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 2 OF 5

ROCHELLE L BERKLEY
8708 CAMDEN HILLS AVE

Account Number
[redacted]

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
LIQUID ASSET FUND	39.50		0
Total Cash and Money Market Funds	$39.50		$0
Net Change Since Last Statement	$.00		

Annualized 30 Day Yields	
Liquid Asset Fund	1.84%
U. S. Gov't Money Market Tr	1.56%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
100	AOL TIME WARNER	32.10	3,210.00	5.8%	0	0.00%	AOL	
Total Stocks			$3,210.00	5.8%	0	0.00%		
Net Change Since Last Statement			-240.00					

Mutual Funds		Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
Morgan Stanley Mutual Funds									
653.781	INFORMATION FUND B	11.8600	7,753.84	13.9%	N/A	N/A	141101498	IFOBX	Reinv/Reinv
1,544.429	COMPETITIVE EDGE-BEST IDS B	7.1900	11,104.44	19.9%	N/A	N/A	123763565	EDGBX	Reinv/Reinv

Shelley Berkley NV-01

35 747

Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 3 OF 5

ROCHELLE L BERKLEY
9709 CAMDEN HILLS AVE

Account Number
[redacted]

Mutual Funds	Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
Morgan Stanley Mutual Funds								
591.416 DEVELOPING GRW SECURITIES B	17.3900	10,284.72	18.4%	N/A	N/A	140844269	DGRBX	Reinv/Reinv
Total Morgan Stanley Mutual Funds		29,165.00	58.2%	N/A	N/A			
Other Mutual Funds								
634.195 PHOENIX-ENGEMANN NIFTY FIFTY A	19.4700	12,347.77	22.1%	N/A	N/A		PANFX	Reinv/Reinv
417.503 PHOENIX-ENGEMANN SM MDCP GR A	26.5800	11,097.22	19.9%	N/A	N/A		PAMAX	Reinv/Reinv
Total Other Mutual Funds		23,444.99	42.0%	N/A	N/A			
Total Mutual Funds		[illegible]	[illegible]	N/A	N/A			
Net Change Since Last Statement		[illegible]						

Asset Summary	Value	Est Yrly Income
Total Asset Value	[illegible]	[illegible]
Total Net Change In Priced Assets Since Last Statement	[illegible]	

CREDITS TO YOUR ACCOUNT

Other Credits	Date	Activity	Description	Amount	Additional Information
	12-20	S/T Capital Gain	PHOENIX ENGEMANN NIFTY FIFTY A	82.89	
			Total Other Credits	$82.89	Year-To-Date $82.89
Total Credits To Your Account				$82.89	Year-To-Date [illegible]

Shelley Berkley NV-01

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 4 OF 5

ROCHELLE L BERKLEY
8709 CAMDEN HILLS AVE

Account Number [redacted]

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-20	12-20	Bought	4.328	PHOENIX ENGEMANN NIFTY FIFTY A	19.1500	82.89	REINVESTMENT
				Total Funds to Purchase Securities		-82.89	Year-To-Date -3,750.54

Total Debits To Your Account -82.89 Year-To-Date -3,750.54

ADDITIONAL ACCOUNT INFORMATION

Morgan Stanley Fund Summary:

	YTD Dividends	YTD Cap Gains	YTD Taxes	Features
INFORMATION FUND B	0.00	0.00	0.00	Reinvest Dividends and Capital Gains
COMPETITIVE EDGE-BEST IDS B	0.00	0.00	0.00	Reinvest Dividends and Capital Gains
DEVELOPING GRW SECURITIES B	0.00	0.00	0.00	Reinvest Dividends and Capital Gains
LIQUID ASSET FUND	0.09	0.00	0.00	Reinvest Dividends
Totals	$0.09	$0.00	$0.00	

For Morgan Stanley Mutual Fund Account Information, call 1-800-869-NEWS(6397).

LIQUID ASSET FUND

Following are the Fund's 30-day average annualized yields during the past quarter: October 2.69%, November 2.24% and December 1.84%.

Retirement Recap

	2001	2000
Account Valuation	55,837.49	83,235.96

37 7 47

Shelley Berkley NV-01

Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 1 OF 8

Your Financial Advisor
MICHAEL NOVICK
SENIOR VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
3800 HOWARD HUGHES PKY STE 800
LAS VEGAS, NV 89109
(702) 737-8114

Account Number
[redacted]

Roth Converted IRA
Dated 12/21/98

ROCHELLE BERKLEY 002566
9709 CAMDEN HILLS AVE
LAS VEGAS NV 89145-8810 137

Asset Summary

	Value	*% of Assets*
Money Market Funds	$711.84	0.6%
Stocks	86,107.80	77.8
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	23,900.00	21.6
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$110,719.64	100.0%
Cash	0.00	
Total Asset Value	$110,719.64	

Income Summary

	This Month	*Year-To-Date*
Money Market Funds	$1.04	$25.08
Stocks	0.00	1,388.82
Municipal Bonds	0.00	0.00
Corporate Fixed Income	0.00	0.00
Government Securities	0.00	0.00
Mutual Funds	0.00	0.00
Unit Investment Trusts	0.00	0.00
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$1.04	$1,413.90

Activity Summary

Total Asset Value November 30 2001		$109,922.00
Cash/Money Market Activity for December		
Closing Balance 11/30	$740.80	
Credits To Your Account		
Dividends and Interest	1.04	
Deposits	0.00	
Sales Proceeds/Redemptions	0.00	
Other Credits	0.00	
Total Credits	1.04	
Debits To Your Account		
Withdrawals	0.00	
Funds to Purchase Securities	0.00	
Other Debits	-30.00	
Total Debits	-30.00	
Closing Balance 12/31	711.84	
Net Change Cash/Money Market Activity		-28.96
Changes in Asset Value for December		
Value of Priced Assets 11/30	$109,181.20	
Securities Bought	0.00	
Securities Received	0.00	
Securities Sold/Redeemed	0.00	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	826.60	
Value of Priced Assets 12/31	110,007.80	
Net Change in Asset Value		826.60
Total Asset Value as of December 31 2001		$110,719.64

MorganStanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 2 OF 8

ROCHELLE BERKLEY
9709 CAMDEN HILLS AVE

Account Number [redacted]

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
LIQUID ASSET FUND	711.84	0.6%	13
Total Cash and Money Market Funds	[illegible]	[illegible]	[illegible]
Net Change Since Last Statement	[illegible]		

Annualized 30 Day Yield	
Liquid Asset Fund	1.84%
U. S. Gov't Money Market Tr	1.54%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
370	AKAMAI TECHNOLOGIES INC	5.94	2,197.80	2.0%	0	0.00%	AKAM	
1,500	MORGAN STNLY DEAN WITTER & CO	55.94	85,910.00	[illegible].6%	1,380	1.64%	MWD	Next Dividend Payable 01/02
Total Stocks			[illegible]	[illegible]	[illegible]	[illegible]		
Net Change Since Last Statement			[illegible]					

Certificates of Deposit		Market Price	Market Value	Pct of Assets	Est Yrly Income	Current Yield	Accruing Interest	Additional Information	
20,000	BANKERS TR S&P 500 LINK CD IDX ZERO COUPON DUE 01/28/08	119.50000	23,900.00	21.6%	0	0.00%	0	ISSUE 01/28/98 MATURITY VALUE	FDIC INSURED $20,000.00
Total Certificates of Deposit			[illegible]	[illegible]	[illegible]	[illegible]	[illegible]		
Net Change Since Last Statement			[illegible]						

Asset Summary	Value	Est Yrly Income
Total Asset Value	[illegible]	[illegible]
Total Net Change in Priced Assets Since Last Statement	[illegible]	

Shelley Berkley NV-01

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Morgan Stanley

RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 3 OF 6

ROCHELLE BERKLEY
9709 CAMDEN HILLS AVE

Account Number
[redacted]

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Date	Activity	Description	Amount	Income Category
12-31	Dividend	LIQUID ASSET FUND	1.04	Money Market Funds
		Total Dividends and Interest	$1.04	

See Income Summary on page 1 for the month-to-date and year-to-date amounts per income category.

Total Credits To Your Account $1.04 Year-To-Date [illegible]

DEBITS TO YOUR ACCOUNT

Other Debits

Date	Activity	Description	Amount	Additional Information
12-19	Charge	ANNUAL MAINTENANCE FEE	-30.00	
		Total Other Debits	-$30.00	Year-To-Date [illegible]

Total Debits To Your Account -$30.00 Year-To-Date [illegible]

ADDITIONAL ACCOUNT INFORMATION

Money Market

Date	Activity	Description	Amount	Additional Information
		Closing Balance 11/30	740.00	
12-21	Automatic Redemption	LIQUID ASSET FUND	-30.00	
12-31	Dividend Reinvestment	LIQUID ASSET FUND	1.04	
		Closing Balance 12/31	711.04	

Morgan Stanley Fund Summary

	YTD Dividends	YTD Cap Gains	YTD Taxes	Features
LIQUID ASSET FUND	25.38	0.00	0.00	Reinvest Dividends

Shelley Berkley NV-01

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Morgan Stanley

RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 2001

PAGE 8 OF 8

ROCHELLE BERKLEY
8709 CAMDEN HILLS AVE

Account Number
[redacted]

Unrealized Gain/(Loss)	*Quantity*	*Date Acquired*	*Unit Cost*	*Adjusted Total Cost*	*Market Value*	*Unrealized Gain/(Loss)*	*Additional Information*

The "Total Cost" and "Unit Cost" for Fixed Income Unit Trusts, Mortgage-Backed Securities, and Zero Coupon Bonds has been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase date. In the event that the accumulated total return of principal or capital is greater than the provided original cost, the adjusted cost will be "0.00".

Realized Gain/(Loss)	*Quantity*	*Date Acquired*	*Date Sold*	*Adjusted Total Cost*	*Proceeds*	*Realized Gain/(Loss)*	*Additional Information*
NORTEL NETWORKS CORP NEW	255	10-27-00	07-11-01	11,115.80	1,789.08	(9,326.72)	Short Term
Totals for Closing Transactions with Cost Data available				$11,115.80	$1,789.08	($9,326.72)	
Total Proceeds					$1,789.08		

Summary	*Short Term*	*Long Term*	*Total*
Unrealized gain	$0.00	$0.00	$0.00
Unrealized (loss)	($693.16)	$0.00	($693.16)
Realized gain YTD	$0.00	$0.00	$0.00
Realized (loss) YTD	($9,326.72)	$0.00	($9,326.72)

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Shelley Berkley NV-01

Morgan Stanley

CHOICE RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 2001

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Your Financial Advisor
JESSE BROMBERG
SENIOR VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
101 CALIFORNIA ST. 3RD FL.
SAN FRANCISCO, CA 94111
(415) 693-6000

Account Number
[redacted]

IRA Rollover
Dated 01/27/88

LARRY LEHRNER
9709 CAMDEN HILLS AVENUE
LAS VEGAS NV 89145-8810

Asset Summary

	Value	% of Assets
Money Market Funds	$4,272.82	2.0%
Stocks	87,336.48	41.4
Municipal Bonds	0.00	0.0
Corporate Fixed Income	59,690.50	28.2
Government Securities	0.00	0.0
Mutual Funds	24,266.42	11.4
Unit Investment Trusts	36,180.73	17.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$211,746.90	100.0%
Cash	0.00	
Total Asset Value	$211,746.90	

Income Summary

	This Month	Year-To-Date
Money Market Funds	$5.72	$160.14
Stocks	54.47	1,088.13
Municipal Bonds	0.00	0.00
Corporate Fixed Income	512.52	1,013.97
Government Securities	0.00	0.00
Mutual Funds	0.00	0.00
Unit Investment Trusts	0.00	905.62
Certificates of Deposit	0.00	0.00
Other	0.00	0.00
Total Income	$572.71	$3,165.86

Activity Summary

Total Asset Value November 30 2001		$206,117.31
Cash/Money Market Activity for December		
Closing Balance 11/30	$3,290.02	
Credits To Your Account		
Dividends and Interest	572.71	
Deposits	0.00	
Sales Proceeds/Redemptions	5,409.81	
Other Credits	112.61	
Total Credits	6,095.13	
Debits To Your Account		
Withdrawals	0.00	
Funds to Purchase Securities	-5,112.33	
Other Debits	0.00	
Total Debits	-5,112.33	
Closing Balance 12/31	4,272.82	
Net Change Cash/Money Market Activity		982.80
Changes in Asset Value for December		
Value of Priced Assets 11/30	$202,627.29	
Securities Bought	5,112.33	
Securities Received	0.00	
Securities Sold/Redeemed	-5,409.81	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	5,144.27	
Value of Priced Assets 12/31	207,474.08	
Net Change in Asset Value		4,646.79
Total Asset Value as of December 31 2001		$211,746.90

Shelley Berkley NV-01

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MorganStanley

CHOICE RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 8 OF 18

LARRY LEHRNER
8709 CAMDEN HILLS AVENUE

Account Number
[redacted]

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
LIQUID ASSET FUND	4,272.82	2.0%	78
Total Cash and Money Market Funds	$4,272.82	2.0%	$78
Net Change Since Last Statement	$962.86		

Annualized 30 Day Yields	
Liquid Asset Fund	1.84%
U.S. Gov't Money Market Tr.	1.56%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
200	ABBOTT LABORATORIES	55.75	11,150.00	5.3%	168	1.50%	ABT	Next Dividend Payable 02/02
154	AMERICAN INTERNATIONAL GP	79.40	12,227.60	5.8%	25	.21%	AIG	Next Dividend Payable 03/02
1,500	DRUGSTORE.COM INC	1.95	2,925.00	1.4%	0	0.00%	DSCM	
290	GENERAL ELECTRIC CO	40.08	11,623.20	5.5%	208	1.79%	GE	Next Dividend Payable 01/25/02
1,000	GENUITY INC CL A	1.58	1,580.00	0.7%	0	0.00%	GENU	
213	MEDTRONIC INC	51.21	10,907.73	5.2%	48	.44%	MDT	Next Dividend Payable 01/02
80	MINNESOTA MINING & MFG CO	118.21	9,456.80	4.5%	192	2.03%	MMM	Next Dividend Payable 03/02
250	NORTHPOINT COMM GRP INC	.15	37.50	N/A	0	0.00%	NPNTQ	
200	PEPSICO INC NC	48.69	9,738.00	4.6%	116	1.19%	PEP	Next Dividend Payable 01/02/02
155	STARWOOD HTLS & RSTS WW INC	29.85	4,626.75	2.2%	124	2.68%	HOT	Next Dividend Payable 01/21/02
227	WAL MART STORES INC	57.55	13,063.85	6.2%	63	.48%	WMT	Next Dividend Payable 01/07/02
Total Stocks			$87,336.45	41.3%	$947	1.08%		
Net Change Since Last Statement			-$1,617.96					

Corporate Fixed Income		Current Price	Value	Pct of Assets	Est Yrly Income	Current Yield	Accruing Interest	Additional Information
Fixed-Rate Capital Securities								
600	MRGN STAN CAP II 7250 #31L31 7.250% QTRLY OCT DUE 07/31/31 CALLABLE $25.00 ON 07/31/06	25.49	15,294.00	7.2%	1,087	7.10%	0	MOODY AA3 S&P A
570	WELLS FARGO CAP 7000 #31SP01 7.000% QTRLY DEC DUE 09/01/31 CALLABLE $25.00 ON 08/29/06	25.25	14,392.50	6.8%	997	6.93%	0	MOODY AA3 S&P A-

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Morgan Stanley

CHOICE RETIREMENT ACCOUNT
FOR MONTH ENDING DECEMBER 31, 2001

PAGE 9 OF 18

ARRY LEHRNER
709 CAMDEN HILLS AVENUE

Account Number
[redacted]

orporate Fixed Income		Current Price	Value	Pct of Assets	Est Yrly Income	Current Yield	Accruing Interest	Additional Information
ixed-Rate Capital Securities								
600	CITIGROUP VIII 6950 *31SP15 6.950% QTRLY DEC DUE 09/15/31 CALLABLE $25.00 ON 09/15/06	25.04	15,024.00	7.1%	1,042	6.93%	0	MOODY A1S S&P A
200	PHOENIX COS 7450 *32JA15 7.450% QTRLY APR DUE 01/15/32 CALLABLE $25.00 ON 01/15/07	25.00	5,000.00	2.4%	372	7.45%	0	MOODY A3 S&P A-
400	GENL MTRS 7250 *41JL15 7.250% QTRLY OCT DUE 07/15/41 CALLABLE $25.00 ON 07/15/06	24.95	9,980.00	4.7%	724	7.26%	0	MOODY A2 S&P BBB+
otal Corporate Fixed Income			$[illegible]	[illegible]	$[illegible]	7.07%	0	
et Change Since Last Statement			$[illegible]					

lutual Funds		Current Price	Value	Pct of Assets	Est Yrly Income	Distribution Rate	Fund Plan Number	Symbol	Dividend/ Cap Gains Option
lorgan Stanley Mutual Funds									
1,886.969	FINANCIAL SERVICES TRUST B	12.8600	24,266.42	11.4%	N/A	N/A	132721824	FSVBX	Reinv/Reinv
otal Mutual Funds			$24,266.42	11.4%	N/A	N/A			
et Change Since Last Statement			$[illegible]						

nit Investment Trusts		Current Price	Value	Pct of Assets	Est Yrly Income	Current Yield	Accruing Interest	Par Value	Reinvest Option
quity Trusts									
4,054	UNIT MSDW EQUITY TRUST SELECT TEN INDUSTRIAL 01-1	8.9247	36,180.73	17.0%	1,171	5.25%	N/A	N/A	Full
otal Unit Investment Trusts			$36,180.73	17.0%	$1,171	5.25%	[illegible]	[illegible]	

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Shelley Berkley NV-01

Morgan Stanley

CHOICE RETIREMENT ACCOUNT

FOR MONTH ENDING DECEMBER 31, 2001

PAGE 15 OF 18

LARRY LEHRNER
9709 CAMDEN HILLS AVENUE

Account Number
[redacted]

Unrealized Gain/(Loss)	Quantity	Date Acquired	Unit Cost	Adjusted Total Cost	Market Value	Unrealized Gain/(Loss)	Additional Information
DIVIDEND REINVESTMENT	95	08-15-01	9.3997	892.98	847.89	(45.09)	Short Term
	4,054		9.6617	39,168.59	36,180.73	(2,987.86)	
Totals for positions with cost data available				[illegible]	[illegible]	[illegible]	
Total Market Value for all positions					[illegible]		

The "Total Cost" and "Unit Cost" for Fixed Income Unit Trusts, Mortgage-Backed Securities, and Zero Coupon Bonds has been adjusted to reflect any partial return of principal or capital that may have been paid to you, or accreted interest earned, since your purchase date. In the event that the accumulated total return of principal or capital is greater than the provided original cost, the adjusted cost will be "0.00".

Realized Gain/(Loss)	Quantity	Date Acquired	Date Sold	Adjusted Total Cost	Proceeds	Realized Gain/(Loss)	Additional Information
ABBOTT LABORATORIES	200	07-05-00	05-25-01	9,154.29	10,471.65	1,337.36	Short Term
ABBOTT LABORATORIES	100	07-05-00	12-19-01	4,567.15	5,409.81	842.66	Long Term
ALTERA CP	441	09-15-00	03-12-01	23,865.67	10,840.67	(13,025.00)	Short Term
ARCH COAL INC	300	05-02-01	05-25-01	9,900.00	10,901.63	1,001.63	Short Term
ARTISTDIRECT	100	03-27-00	03-12-01	1,200.00	65.14	(1,134.86)	Short Term
CHARTER COMM CLASS A	500	05-23-01	07-12-01	10,500.00	11,574.61	1,074.61	Short Term
DUPONT PHOTOMASKS INC	350	07-19-00	02-14-01	26,950.00	27,514.59	564.59	Short Term
DUPONT PHOTOMASKS INC	150	04-30-01	07-12-01	7,800.00	6,934.26	(865.74)	Short Term
GENUITY INC CL A	1,000	06-27-00	08-17-01	11,000.00	1,799.94	(9,200.06)	Long Term
GENUITY INC CL A	500	07-21-00	09-05-01	5,162.35	909.96	(4,252.39)	Long Term
HEAD NV ORD	400	09-28-00	05-25-01	4,000.00	1,799.94	(2,200.06)	Short Term
JOHNSON & JOHNSON	200	04-02-01	09-05-01	8,698.60	11,197.62	2,499.02	Short Term
KRAFT FOODS INC CL A	400	06-12-01	08-17-01	12,400.00	12,459.58	59.58	Short Term
LSI LOGIC CORP	500	08-08-00	03-12-01	16,698.49	7,972.88	(8,725.61)	Short Term
NVIDIA CORPORATION	150	10-05-00	04-02-01	10,950.00	9,286.02	(1,663.98)	Short Term
NVIDIA CORPORATION	200	10-05-00	04-20-01	14,600.00	17,617.41	3,017.41	Short Term
UNIT MSDW HI-TECH 35 INDEX 002	6,675	03-21-00	02-25-01	66,149.25	38,283.80	(27,865.45)	Short Term
VODAFONE GP PLC ADS	500	08-22-00	06-26-01	19,519.35	10,454.65	(9,064.70)	Short Term
Totals for closing transactions with cost data available				[illegible]	[illegible]	[illegible]	
Total Proceeds					[illegible]		

This summary is not part of your account statement. It is for information purposes only and should not be used for tax preparation.

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Shelley Berkley NV-01

Morgan Stanley

ACTIVE ASSETS ACCOUNT®
FOR YEAR ENDING DECEMBER 31, 2001

PAGE 1 OF 4

Account Number
[redacted]

AAA Customer Service
1-800-869-3326

Your Financial Advisor
JESSE BROMBERG
SENIOR VICE PRESIDENT - INVESTMENTS
MORGAN STANLEY
101 CALIFORNIA ST. 3RD FL.
SAN FRANCISCO, CA 94111
(415) 693-6000

LAWRENCE M LEHRNER TTEE 001304
FOR THE LEHRNER FAMILY LIVING
TRUST DTD 2/22/88 101
8709 CAMDEN HILLS AVENUE
LAS VEGAS NV 89145-8610

Asset Summary

	Value	*% of Assets*
Money Market Funds	$462.20	2.0%
Stocks	22,567.80	98.0
Municipal Bonds	0.00	0.0
Corporate Fixed Income	0.00	0.0
Government Securities	0.00	0.0
Mutual Funds	0.00	0.0
Unit Investment Trusts	0.00	0.0
Certificates of Deposit	0.00	0.0
Annuities/Insurance	0.00	0.0
Other	0.00	0.0
Asset Value	$25,030.00	100.0%
Cash	0.00	
Total Asset Value	$23,030.00	

Income Summary

	Year To Date
Money Market Funds	$27.76
Stocks	0.00
Municipal Bonds	0.00
Corporate Fixed Income	0.00
Government Securities	0.00
Mutual Funds	0.00
Unit Investment Trusts	3.66
Certificates of Deposit	0.00
Other	0.00
Total Income	$31.42
Taxable Income	$31.42
Tax Exempt Income	$0.00

Activity Summary

Total Asset Value January 01, 2001		$33,017.22
Cash/Money Market Activity for 2001		
Credits To Your Account		
Dividend and Interest	31.42	
Deposits	0.00	
Sales Proceeds/Redemptions	59,732.56	
Other Credits	0.00	
Total Credits	59,763.98	
Debits To Your Account		
Checking	0.00	
Debit Card	0.00	
Withdrawals	0.00	
Funds to Purchase Securities	-59,986.69	
Other Debits	-80.00	
Total Debits	-60,066.69	
Changes In Asset Value for 2001		
Value of Priced Assets 1/01/01	$32,252.31	
Securities Bought	59,986.69	
Securities Received	0.00	
Securities Sold/Redeemed	-59,752.56	
Securities Delivered	0.00	
Transactions at Fund Company	0.00	
Change in Value of Priced Assets	-9,938.64	
Value of Priced Assets 12/31/01	22,567.80	
Net Change in Asset Value		-9,684.51
Total Asset Value as of December 31 2001		$25,030.00

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Shelley Berkley NV-01

Morgan Stanley

ACTIVE ASSETS ACCOUNT®
FOR YEAR ENDING DECEMBER 31, 2001

PAGE 2 OF 4

LAWRENCE M LEHRNER TTEE
FOR THE LEHRNER FAMILY LIVING

Account Number
[redacted]

ASSET DETAILS

Cash and Money Market Funds	Amount	Pct of Assets	Est Yrly Income
CASH	.00	---	---
ACTIVE ASSETS MONEY TRUST	462.20	2.0%	9
Total Cash and Money Market Funds	$462.20	2.0%	$9
Net Change Since January 1, 2001	[illegible]		

Annualized 30 Day Yields	
Active Assets Money Trust	2.01%
Active Assets Govt. Sec. Tr.	1.69%
Active Assets California Tax Free	0.86%
Active Assets Tax Free Trust	1.17%
Active Assets Insured Account	1.84%
Active Assets Deposit Account	1.84%

Stocks		Current Price	Value	Pct of Assets	Est Yrly Income	Dividend Yield	Symbol	Additional Information
Common Stocks								
580	NASDAQ-100 TRUST SERIES I	38.91	22,567.80	98.0%	0	0.00%	QQQ	
Total Stocks			$22,567.80	98.0%	$0	0.00%		
Net Change Since January 1, 2001			$22,567.80					

Asset Summary	Value	Est Yrly Income
Total Asset Value	$23,030.00	$9
Total Net Change in Priced Assets Since January 1, 2001	[illegible]	

CREDITS TO YOUR ACCOUNT

Dividends and Interest

Activity	Description	Amount	Income Category
Dividend	ACTIVE ASSETS MONEY TRUST	27.76	Money Market Funds
Dividend	UNIT MSDW HI-TECH 35 INDEX 011	5.66	Unit Investment Trusts

Shelley Berkley NV-01

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Morgan Stanley

ACTIVE ASSETS ACCOUNT®
FOR YEAR ENDING DECEMBER 31, 2001

PAGE 3 OF 4

LAWRENCE M LEHRNER TTEE
FOR THE LEHRNER FAMILY LIVING

Account Number
[redacted]

Dividends and Interest

Activity	Description	Amount	Income Category
	Total Dividends and Interest	$31.42	

Sales Proceeds/Redemptions

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
01-17	01-22	Exchange From	4,463	UNIT MSDW HI-TECH 35 INDEX 001	8.0832	36,075.32	IN-KIND ROLLOVER SALE GROSS PROCEEDS 8489.74
12-19	12-24	Sold	3,324	UNIT MSDW HI-TECH 35 INDEX 011	7.1171	23,657.24	MSDWI IS MARKET MAKER
				Total Sales Proceeds/Redemptions		$59,732.56	

Total Credits To Your Account $59,763.98

DEBITS TO YOUR ACCOUNT

Funds to Purchase Securities

Trade Date	Settle Date	Activity	Quantity	Description	Price	Amount	Additional Information
12-19	12-24	Bought	580	NASDAQ-100 TRUST SERIES I	40.5000	23,916.30	
01-17	01-22	Exchange To	3,324	UNIT MSDW HI-TECH 35 INDEX 011	10.8515	36,070.39	IN-KIND ROLLOVER PURCHASE
				Total Funds to Purchase Securities		-59,986.69	

Other Debits

Date	Activity	Description	Amount	Additional Information
02-02	Charge	AAA ANNUAL SERVICE FEE	-80.00	
		Total Other Debits	-80.00	

Total Debits To Your Account -60,066.69

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

CONGRESSMAN HOWARD L. BERMAN (Full Name)
2330 Rayburn Building
Washington, D.C. 20515 (Mailing Address)
202 225-4695 (Daytime Telephone:)

Filer Status ☒ Member of the U.S. House of Representatives State: CA District: 26 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐		VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒ No ☐		VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐		VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒		IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Howard L. Berman	5/15/02

Name HOWARD L. BERMAN

Page 2 **of** 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of CA	Legislative Pension	$3,000

For payments to charity in lieu of honoraria, use Schedule II.

Name HOWARD L. BERMAN | **Page** 3 **of** 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
CA Cable Television Association	Speech/Panelist	Aug. 10,2001	$1,000

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name HOWARD L. BERMAN

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts, any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
DC	Bank of America-CD			X												X						X										
SP DC	Schwab One Account			X										X									X									
	1.Janus Fund			X																												
	2.Marisco Focus Fund			X																												
	3.Janus Twenty Fund			X																												

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name HOWARD L. BERMAN

Page 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E

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Name HOWARD L. BERMAN

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	NONE														

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Name HOWARD L. BERMAN

Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Congressional Federal Credit Union	Loan	X									
JT	Revolving Credit Cards	Credit Cards		X								
	1. Citibank											
	2. American Express											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name HOWARD L. BERMAN | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
The Aspen Institute		Jan.12-17	L.A.-Grand Cayman-L.A.	Y	Y	Y	N
The Aspen Institute		March 9-11	Wash.,DC-White Sulphur Springs,W.VA-WDC	Y	Y	Y	N
Los Angeles Intellectual Property Law Assoc.		Apr.21-22	(no travel reimbursement) Santa Barbara, CA	Y	Y	Y	N
CA Cable TV Assoc.		Aug.9-10	Los Angeles-Incline NV-Los Angeles	Y	Y	N	N
The Aspen Institute		Aug.19-26	Los Angeles-Helsinki-LA	Y	Y	Y	N
Washington Institute for Near East Policy		Oct.19-21	Wash.,DC-Leesburg,VA-WDC	Y	Y	Y	N
Anti-Defamation League of B'nai B'rith		Nov.9-11	Santa Barbara, CA (no travel reimbursement)	Y	Y	Y	N

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Name HOWARD L. BERMAN | **Page** 9 **of** 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2092 77-791 (mac)

Use additional sheets if more space is required.

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Robert Marion Berry
(Full Name)

1113 Longworth, House Office Building
Washington, DC 20515
(Mailing Address)

(202) 225-4076
Daytime Telephone:

Filer Status	☒ XX Member of the U.S. House of Representatives — State: Arkansas District: First	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒ No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Marion Berry	5/14/02

Name Robert Marion Berry	**Page** 1 **of** 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	CARMAR Lowe, Inc. (Spouse)	Spouse Directors fee	1,200.00
	Marion Berry, Inc. (Spouse)	Spouse, salary	20,000.00
	Mitchell Berry, Inc. (Spouse)	Spouse, salary	3,000.00
	Pecan Post, Inc. (Spouse)	Spouse, salary	16,000.00

For payments to charity in lieu of honoraria, use Schedule II.

Name Robert Marion Berry

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SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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Name Robert Marion Berry

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or as jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
Sp	Marion Berry, Inc. note 1						X													salary							X					
Sp	Pecan Post, Inc. note 2									X										SALARY							X					
	Berry Land Co. note 3		X																	ptr. income						X						
Sp	CARMAR Lowe, Inc. note 4						X													directors fee				X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert Marion Berry

Page 4 **of** 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	note 5																															
	Riceland Foods, Inc.				X																X											
	Planters & Merchants																															
	Bank of Gillett, AR note 6			X										X									X									
	Southern Farm Bureau																															
	Life Ins. Co.			X										X								X										
	140 Main St., Gillett AR		X																		X											
	Marion Berry, Inc.																															
	Profit Sharing Plan						X									X										X						
	Note 7																															
	Planters & Merchants																															
	Bank of Gillett, AR			X												X							X									
	Mony Group, Inc.				X									X								X										
	JT Rental (408 3rd St.)							X							X											X						
	SE, Washington, DC																															

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert Marion Berry

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
	Note 1 closely held farming corporation, Gillett, Arkansas																															
	Note 2 Farm land ownership for rental, DeWitt, Arkansas																															
	Note 3 Family farm partnership, DeWitt, Arkansas																															
	Note 4 Family farm land for rental, Gillett, Arkansas																															
	Note 5 Farm cooperative patronage and equity, Stuttgart, Arkansas																															
	Note 6 Bank stock, Gillett, Arkansas																															
	Note 7 to Marion Berry, Inc.																															
	Profit Sharing Plan																															
	A. U.S. Treasury Bonds						X																			X						

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SCHEDULE IV — TRANSACTIONS

Name Robert Marion Berry

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset		Type of Transaction			Date	Amount of Transaction									
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example.*	Mega Corporation Common Stock	X			10-12-01		X								

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Name	Page
Robert Marion Berry	7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor		Type of Liability	Amount of Liability									
				B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
Jt	Bank of America, NA		mortgage on 408 3rd										
			Street, SE, Washington										
			D.C.					X					

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Robert Marion Berry

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
COTTON GINNERS ASSN.		MARCH 2	MEMPHIS	Y	N	N	N
AMER. CROP PROTECTION ASSN.		SEPT. 28 - OCT 1	WASH - WHITE SULPHUR SPRINGS, WV - WASH	Y	Y	Y	N
FAITH & POLITICS INSTITUTE		OCT. 12 - 14	WASH - TRAPPIST, KY - WASH	Y	Y	Y	N

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Name Robert Marion Berry **Page** 9 **of** 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Berry Land Co.
Director/Secretary	CARMAR Lowe, Inc. (spouse)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
10/93	Marion Berry, Inc.	Retention of benefits under profit sharing plan
10/93	Marion Berry, Inc.	Return to employment upon leaving government office
10/93	CARMARLOwe, INc.	Spouse will continue as director/secretary of CARMAR Lowe, Inc.

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:52 (16)
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Judy Biggert (Full Name)
425 E. Sixth St
Hinsdale, Il 60521 (Mailing Address)
Daytime Telephone: 202-225-3515

Filer Status ☒ Member of the U.S. House of Representatives State: Il District: 13 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Judy Biggert	5-15-02

Name Judy Biggert | Page 2 of 15

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Seyfarth, Shaw	Spouse Salary	NA
	Illinois General Assembly, State of Illinois	Deferred Compensation	$16,775
	Illinois General Assembly Vested Pension Plan	Legislative Pension	$18,586

For payments to charity in lieu of honoraria, use Schedule II.

Name Judy Biggert | Page 3 of 16

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C. XYZ Magazine	Speech Article	Feb. 2, 2001 Aug. 13, 2001	$2,000 $500
	NONE			

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Name Judy Biggert

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Abbott Laboratories						X							X										X								
	Abbott Laboratories	X															X									X						S
	Valspar Corp				X									X									X									
	Walgreen Company									X				X											X							
	Walgreen Company	X															X											X				S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 5 of 16

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Aflac Inc			X																		X										
SP	Amgen Inc				X																											
SP	Amgen Inc	X																							X							S
SP	Amgen Inc	X																								X						S
SP	AOL Time Warner				X																											E
SP	AOL Time Warner	X																						X								S
SP	AOL Inc	X																														E
SP	Amphenol Corp				X																											
SP	ACLW LTD			X																												P
SP	ACLW LTD	X																			X	Cap Loss										S
SP	AT&T Wireless Services Inc			X																												E
SP	AT&T Wireless Services Inc	X																			X	Cap Loss										S
SP	AT&T Corp Wireless Group Com	X																														E
SP	AT&T Corp Wireless Group Com	X																														P
SP	AT&T Corp	X																			X	Cap Loss										S
SP	Black Box Corp				X																											
SP	Becton Dickinson Co				X									X									X									
SP	Berkshire Hathaway Inc				X																											
SP	Charter One Finl Inc			X										X									X									
SP	Choice point					X																										
SP	Cisco Sys Inc			X																												P
SP	Charter One Finl Inc	X															X								X							S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Judy Biggert

Page 6 of 16

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Cisco Sys Inc	X															X							X								S
SP	Cisco Sys Inc	X																			X		Cap Loss									S
SP	EMC Corp Mass			X																												
SP	Freddie Mac				X									X									X									
SP	Freddie Mac	X															X							X								S
SP	Freddie Mac	X															X									X						S
SP	Freddie Mac	X															X							X								S
SP	Freddie Mac	X															X							X								S
SP	General Electric Co				X									X									X									
SP	Harte-Hanks Inc				X									X								X										
SP	Internet Corp			X										X								X										
SP	Intel Corp				X									X								X										
SP	Illinois Tool Works				X									X																		
SP	Illinois Tool Works	X															X						X		X							S
SP	Johnson & Johnson					X								X										X								
SP	Wiley John & Sons			X										X								X										P
	~~Wiley John & Sons~~																															
SP	MBNA						X							X										X								
SP	Legg Mason				X									X								X										P
SP	Lucent Technology Inc			X										X								X										
SP	Lucent Technology Inc	X																			X		Cap Loss									S
SP	Medtronic Inc			X										X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Judy Biggert

Page 7 of 16

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Microsoft Corp					X																										
SP	M&T Bank Corp						X							X										X								
SP	M&T Bank Corp	X															X									X						S
SP	M&T Bank Corp	X															X									X						S
SP	M&T Bank Corp	X															X									X						S
SP	Nokia Corp			X																												
SP	Oracle Corp			X																												
SP	Oracle Corp	X															X								X							S
SP	Paychex Inc				X									X								X										P
SP	Prima Energy Corp			X																												P
SP	QXL Ricardo PLC ARD		X																	Reverse Split												
SP	Raymond James Finl Inc			X										X								X										
SP	Raymond James Finl Inc	X															X								X							S
SP	South~~east~~trust Corp				X									X									X									
SP	Southtrust Corp	X															X					X										S
SP	Southtrust Corp	X															X							X								S
SP	State Street Corp					X								X									X									
SP	Sun Microsystems Inc			X																												P
SP	Sun Microsystems Inc	X																			X	Cap Loss										S
SP	Stryker Corp				X									X								X										
SP	Stryker Corp	X															X								X							S
SP	Stillwell Financial	X															X				X			Capital loss								S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 8 of 16

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK I Transacti
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	United Parcel Service				X									X									X									P
SP	US Bancorp Del Com				X									X									X									
SP	US Bancorp Del Com	X															X						X									S
SP	Williams Cos Inc				X									X									X									2
SP	William Com Group	X																		Capital los	X		Cap Loss									2 + S
SP	Stewart WP & Co. Ltd				X																											P
SP	Xilinx Inc				X																											
SP	Zimmer Holdings Inc				X																											P
SP	ACAT	X																				Unavailable										
SP	Utilities Inc	X																				Unavailable										
SP	Williams Comm Sr Notes			X												X								X								
SP	Williams Comm Sr Notes	X																			X		Cap Loss									S
SP	U.S. Treasury Notes	X														X									X			■				S
SP	U.S. Treasury Notes						X									X										X						
SP	Fedl Natl Mtg Assn Medium				X											X								X								
SP	The Intermet Fund				X									X							X											
SP	Vanguard Short Term Corp					■			X							X											X					
SP	PLM Invest Covered Hopper Car		X												X							X										
	Westminister Fund III					X								X											X							
	Westminister Fund IV				X									X									X									
SP	Natl Finl Service IRA					X								X											X							
SP	Yahoo Inc	X															X					X										S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Judy Biggert

Page 9 of 16

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transacti
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Comdisco Inc Notes	X															X					X										
JT	Citigold Accounts			X												X							X									
	Harris Bank			X												X						X										
JT	The Vanguard Group			X										X								X										
	Walgreen Retirem Prof Sharing						X													Distribution							X					
	~~Ft [illegible] Retire Sys~~																															
SP	Allied Irish Bank	X															X										X					S
SP	ADC Telecommunicas Inc	X																			X	Cap Loss										S

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Name Judy Biggert

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Abbott Laboratories		X		10-29-01	X									
	Walgreen Company		X		3-13-01				X						
SP	ACLN LTD	X			10-30-01		X								
SP	ACLN LTD		X		12-28-01	X									
SP	Cisco Sys Inc		X		10-01-01	X									
SP	Cisco Sys Inc		X		9-26-01	X									
SP	Cisco Sys Inc	X			3-29-01	X									
SP	Stillwell Financial Inc.		X		10-09-01	X									
SP	Us Bancorp Del Com		X		10-15-01	X									
SP	AT&T Corp AT&T Wireless Group Com	X			3-26-01	X									
SP	AT&T Corp		X		3-26-01	X									
SP	AT&T Wireless Group exch. for Wireless Servs-			X	7-09-01										
	AT&T Wireless Svcs.														
SP	AT&T Wireless Svcs.		X		10-22-01	X									
SP	Freddie Mac		X		3-26-01		X								
SP	Freddie Mac		X		3-26-01	X									

This page may be copied if more space is required.

Name Judy Biggert

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
SP	Freddie Mac		X		3-19-01	X									
SP	Freddie Mac		X		10-22-01	X									
SP	Illinois Tool Works		X		10-22-01		X								
SP	M+T Bank Corp		X		1-03-01		X								
SP	M+T Bank Corp		X		3-26-01	~~X~~	X								
SP	M+T Bank Corp		X		10-22-01	X									
SP	Solectron Corp		X		10-22-01		X								
SP	Paychex	X			9-12-01		X								
SP	Amphenol Corp	X			9-13-01	X									
SP	Sun Microsystems Corp	X			4-03-01	X									
SP	Sun Microsystems Corp		X		9-06-01	X									
SP	Safeguard Scientific Inc		X		9-13-01	X									
SP	Zimmer Hldgs Inc	X			8-10-01	X									
SP	Wiley John + Sons Inc	X			8-10-01	X									
SP	South trust Corp		X		3-19-01	X									
SP	Southtrust Corp		X		8-31-01	X									

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SCHEDULE IV — TRANSACTIONS

Name Judy Biggert

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10–12–01		X								
	ADC Telecommunications Inc.		X		7-30-01	X									
	Amgen, Inc.		X		7-30-01	X									
	Amgen, Inc.		X		3-19-01	X									
	AOL Time Warner		X		6-7-01	X									
	AOL Time Warner	X			3-26-01	X									
	AOL Time Warner / AOL Inc			X	1-12-01										
	Allied Irish Banks PLC		X		6-15-01		X								
	Charter One Financial Inc		X		6-18-01	X									
	Lucent Technologies Inc		X		6-22-01	X									
	Williams Commun. Senior Notes		X		5-01-01	X									
	Raymond James Finl Inc 200		X		5-04-01	X									
	William Com Group Inc		X		5-03-01	X									
	Avaya Inc		X		3-05-01										
	Oracle Corp		X		3-07-01	X									
	Stryker Corp		X		3-19-01	X									

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SCHEDULE IV — TRANSACTIONS

Name Judy Biggert

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	United Parcel Svc	X			3-26-01		X								
	U.S. Treasury Notes		X	[illegible]	10-31-01			X							
	Yahoo Inc		X		4-05-01	X									
	Comdisco Inc		X		4-30-01	X									
	Stewart WP, Co	X			1-19-01		X								
	Mc Data corp		X		3-26-01	324									
	ADC Telecommunications Inc	X			1-05-01		X								
	Prima Energy Corp	X			6-14-01	X									

This page may be copied if more space is required.

Name Judy Biggert | Page 14 of 16

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name Judy Biggert | Page 15 of 16

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
National Assn of Insurance Commissioners		Jun 10-11	Chicago-NewOrleans-Chic	Y	Y	N	N
Aspen Institute		Mar 9-11	WashDC-Greenbriar, WVA, Wash, DC	Y	Y	Y	N

Name Judy Biggert | Page 16 of 16

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
None	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
12/31/98	Illinois General Assembly Vested Pension Plan	$1,049 per month

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 2: 28

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(10)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 10

For use by Members, officers, and employees

Michael Bilirakis, M.C
(Full Name)

2269 Rayburn HOB Washington, DC 20515
(Mailing Address)

202-225-5755
(Daytime Telephone)

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: FL — District: 09	☐ Officer Or Employee — Employing Office:	**A $200 penalty shall be assessed against anyone who files more than 30 days late.**
Report Type	☑ Annual (May 15) ☐ Amendment ☐ Termination	Termination Date:	

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Michael Bilirakis	5/15/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael Bilirakis, M.C.

Page 2 of 10

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT),		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	3 Com/Palm - IRA	$1,001 - $15,000	DIVIDENDS	NONE	
JT	A. G. Edwards -Centennial Money Market	$1,001 - $15,000	Interest	$1 - $200	
	A.G. Edwards-Centennial Money Market - IRA	$1,001 - $15,000	Interest	$1,001 - $2,500	
SP	A.G.Edwards Centennial Money Market -IRA	$1,001 - $15,000	Interest	$201 - $1,000	
SP	Adelphia - Stock - IRA	$1,001 - $15,000	NONE	NONE	
SP	AIG - IRA Annuity	$15,001 - $50,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael Bilirakis, M.C.

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	AIG- IRA Annuity	$100,001 - $250,000	DIVIDENDS	NONE	
SP	America Online - IRA	$1,001 - $15,000	DIVIDENDS	NONE	
JT	America Online - Stock	$1,001 - $15,000	DIVIDENDS	NONE	
JT	Bank America (name change) (CDs & Savings)	$50,001 - $100,000	Interest	$1,001 - $2,500	
SP	Bldg. (1/2) Athens & Pinellas, Tarpon Springs, FL	$15,001 - $50,000	None	NONE	
JT	Cellstar - Stock	$1,001 - $15,000	NONE	NONE	P
JT	Cisco - Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Cisco - Stock - IRA	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Commerce One Stock	$1 - $1,000	NONE	NONE	P
SP	Concord Camera - Stock - IRA	$1,001 - $15,000	NONE	NONE	P
JT	Cong Fed. Credit Union (CDs, Checking, Savings)	$50,001 - $100,000	Interest	$2,501 - $5,000	
JT	Corning Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Corning Stock -IRA	$1 - $1,000	DIVIDENDS	NONE	P
JT, SP	DSL Net - Stock	$1,001 - $15,000	DIVIDENDS	NONE	P additional

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael Bilirakis, M.C.

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JT	Emerson Radio Stock	$1,001 - $15,000	NONE	NONE	P
JT	First Union (CD, Savings)	$1,001 - $15,000	Interest	$201 - $1,000	
SP	FL Bancshares - Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Ford Motor Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Fortis Securities	$1,001 - $15,000	Dividends	$201 - $1,000	
	Great Subs, Inc. - Mortgage Note	$100,001 - $250,000	Interest, Capital Gains	$5,001 - $15,000	
JT	Greenleaf - Stock	$1 - $1,000	DIVIDENDS	NONE	
JT	Gulf West Banks - Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT, SP	Health Axis	$1 - $1,000	NONE	NONE	P
JT	House (previous residence), Driftwood Dr., Palm Harbor, FL	$50,001 - $100,000	RENT	NONE	Converted to rental
	IBM - Stock - IRA	$50,001 - $100,000	Dividends	$1,001 - $2,500	
	Intel - Stock - IRA	$1,001 - $15,000	DIVIDENDS	NONE	
	JDS Uniphase Stock -IRA	$1,001 - $15,000	NONE	NONE	P
JT	Kemper Municipal Bond Fund (now Scudder Muni. Fund	$1,001 - $15,000	Interest	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael Bilirakis, M.C.

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	Kinross Gold - IRA	$1,001 - $15,000	DIVIDENDS	NONE	
SP, JT	Lots (unimproved), Tarpon Springs, FL	$15,001 - $50,000	None	NONE	
JT	MSDW Liquid Asset Fund	$1,001 - $15,000	INTEREST	$1 - $200	
	Nokia - IRA	$1,001 - $15,000	DIVIDENDS	NONE	P additional
	NY Life Variable Annuity	$15,001 - $50,000	N/A	N/A	
JT	Office Bldg-4538 Bartelt Rd., Holiday, FL	None	None	NONE	S -Transfer to son
JT	Oppenheimer MSIG - Class B Fund	$1,001 - $15,000	Dividends	$201 - $1,000	
SP	Palm Stock	$1 - $1,000	NONE	NONE	P
JT	Peoples FL Banking Corp - Stock, Savings, CDs	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	Raymond James - Heritage Cash Fund	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Raymond James Heritage Cash Fund	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Raymond James Heritage Cash Fund - IRA	$1 - $1,000	INTEREST	$1 - $200	
JT	Sears Pref. ACC QUIB	$1,001 - $15,000	Interest	$201 - $1,000	
JT	Suburban Propane - Stock	$15,001 - $50,000	Dividends	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael Bilirakis, M.C.

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	Sun Micro System Stock - IRA	$1,001 - $15,000	DIVIDENDS	NONE	P
JT	SunTrust Bank (CD, Savings, Stock)	$50,001 - $100,000	Interest, Dividends	$2,501 - $5,000	
JT	Tech Data - Stock	$1,001 - $15,000	NONE	NONE	
JT	Terremark Stock	$1 - $1,000	NONE	NONE	P
SP	TV Azteca - IRA	$1,001 - $15,000	DIVIDENDS	NONE	
JT	TV Azteca - Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	TV Azteca- IRA	$1,001 - $15,000	DIVIDENDS	NONE	
JT	Unit EIF Biotech Fund	$1,001 - $15,000	DIVIDENDS	NONE	
JT	Unit VK Focus Fund	$1 - $1,000	INTEREST	NONE	

SCHEDULE IV - TRANSACTIONS

Name Michael Bilirakis, M.C.

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Cell Star - Stock	P	1-23-01	$1,001 - $15,000
JT	Health Axis - Stock	P	1-29-01	$1,001 - $15,000
	IBM Stock - IRA	S	1-30-01	$15,001 - $50,000
SP	Concord Camera Stock - IRA	P	2-12-01	$1,001 - $15,000
SP	Commerce One Stock	P	2-12-01	$1,001 - $15,000
SP	DSL Net	P	2-12-01	$1,001 - $15,000
JT	Cisco	P	2-12-01	$1,001 - $15,000
	Cisco - IRA	P	2-12-01	$1,001 - $15,000
	JDS Uniphase - IRA	P	2-12-01	$1,001 - $15,000
	Nokia - IRA	P	2-12-01	$1,001 - $15,000
	Sun MicroSystem - IRA	P	2-12-01	$1,001 - $15,000
SP	Palm Stock	P	5-18-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Michael Bilirakis, M.C.

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Emerson Radio - Stock	P	5-22-01	$1,001 - $15,000
JT	Terremark - Stock	P	5-22-01	$1,001 - $15,000
SP	Corning - Stock - IRA	P	8-16-01	$1,001 - $15,000
JT	Corning - Stock	P	8-16-01	$1,001 - $15,000
	Adelphia Comm. - Stock - IRA	S	11-12-01	$1,001 - $15,000
	Ford Motor - Stock	P	12-17-01	$1,001 - $15,000
SP	Health Axis - Stock	P	1-29-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Michael Bilirakis, M.C.

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Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Bank of America	Mortgage on 4538 Bartelt Rd., Holiday, FL (Law Office)	$50,001 - $100,000
JT	Cong. Fed. Credit Union	Acquired loan for son (secured by CD)	$10,001 - $15,000
	Northwestern Mutual	Cash value loan on life insurance	$50,001 - $100,000
	Southeast Financial	Personal Loan	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Michael Bilirakis, M.C.

Page 10 of 10

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
NCTA (Nat. Cable & Telecom. Assn.	June 8-11	Wash., D.C. -- Chicago-- Wash., D.C.	Y	Y	Y	None

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:43
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(11)
MC

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 8
For use by Members, officers, and employees

Sanford D. Bishop, Jr.
(Full Name)

2429 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-3631
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: GA District: 02	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Sanford D. Bishop Jr	5/15/02

SCHEDULE I - EARNED INCOME

Name Sanford D. Bishop, Jr.

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Consolidated Government of Columbus, Georgia	Spouse Salary	$47,380.06

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Sanford D. Bishop, Jr.

Page 3 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Legislative Retirement System of Ga., 2 Northside, Atlanta, Ga.	$1,001-$15,000	Pension	NONE	n/a
	1st Union Bank of D.C., Washington, D.C.	$1,001-$15,000	Interest	$1-$200	n/a
	SouthTrust Bank of Columbus,Ga.	$1-$1000	Interest	$1-$200	n/a
	Lot 24A Lakemont Heights, Hartwell,Ga.	$1,001-$15,000	None	NONE	n/a
	Congressional Federal Credit Union, Washington, D.C.	$1-$1000	Interest	$1-$200	n/a
	AmSouth Bank,N.A. Mobile, Alabama	$1,001-$15,000	Interest	$1-$200	n/a

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Sanford D. Bishop, Jr.

Page 4 of 8

**Jt	Commonwealth Bank, Mobile, Alabama	$1,001-$5,000	Interest	$1-$200	n/a
Jt	House and lot at 311 Yates St., Starkeville, Ms.	$15,0001-$50,000	Rent	$1-$200	n/a
**Jt	Merrill Lynch CMA Money Market	$50,001-$100,000	Dividends	NONE	n/a
**Jt	Prudential Securities	$50,001-$100,000	Dividends	NONE	n/a
**	All income paid to Joint Tenant				

SCHEDULE IV - TRANSACTIONS

Name Sanford D. Bishop, Jr.

Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	House and lot at 4129 Roman Drive, Columbus, Ga.	Sale	8/31/01	Over $50,000,000

SCHEDULE V - LIABILITIES

Name Sanford D. Bishop, Jr.

Page 6 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Congressional Federal Credit Union	Revolving Charge Account	$10,001-$15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Sanford D. Bishop, Jr.

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
A T & T; Microsoft; and American Airlines	Mar. 16-18	Wash., D.C.-San Jose Wash., D.C.--San Jose, Ca.--Menlo Park, Ca.--Redwood City, Ca.--Mountain View, Ca.--Monterey, Ca.--San Jose, Ca.--Wash., D.C.	Y	Y	N	n/a
Southern Peanut Farmers Federation	July 21-22	Columbus, Ga.--Panama City, Fl.--Albany, Ga.	Y	Y	Y	n/a
Georgia Psychiatric Physicians Assoc.	Aug. 3-5	Wash., D.C.--Destin,Fl.--Atlanta, Ga.	Y	Y	Y	n/a

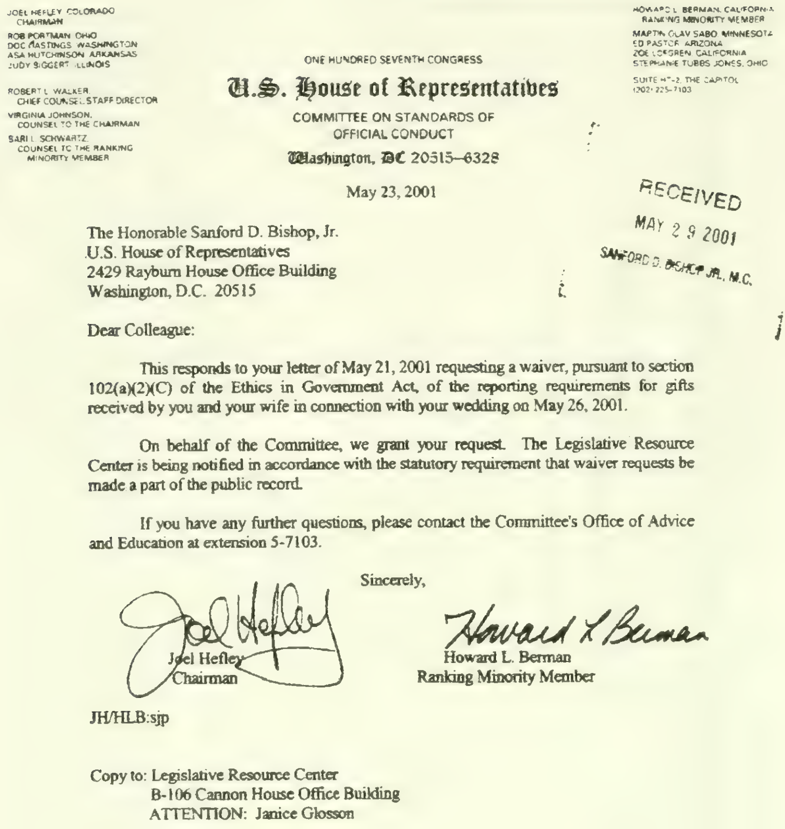
SCHEDULE VIII - POSITIONS

Name Sanford D. Bishop, Jr.

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Tubman African-American Museum, Macon, Ga.
Board Member	William H. Spencer Golden Owlettes, Columbus, Ga.
Board Member	Liberty Theatre, Columbus, Ga.
Board Member	Friends of Albany Theatre, Albany, Ga.



JOEL HEFLEY, COLORADO
CHAIRMAN

ROB PORTMAN, OHIO
DOC HASTINGS, WASHINGTON
ASA HUTCHINSON, ARKANSAS
JUDY BIGGERT, ILLINOIS

ROBERT L. WALKER,
CHIEF COUNSEL/STAFF DIRECTOR

VIRGINIA JOHNSON,
COUNSEL TO THE CHAIRMAN

SARI L. SCHWARTZ,
COUNSEL TO THE RANKING
MINORITY MEMBER

ONE HUNDRED SEVENTH CONGRESS

U.S. House of Representatives

COMMITTEE ON STANDARDS OF
OFFICIAL CONDUCT

Washington, DC 20515–6328

HOWARD L. BERMAN, CALIFORNIA
RANKING MINORITY MEMBER

MARTIN OLAV SABO, MINNESOTA
ED PASTOR, ARIZONA
ZOE LOFGREN, CALIFORNIA
STEPHANIE TUBBS JONES, OHIO

SUITE HT-2, THE CAPITOL
(202) 225-7103

May 23, 2001

RECEIVED
MAY 29 2001
SANFORD D. BISHOP JR., M.C.

The Honorable Sanford D. Bishop, Jr.
U.S. House of Representatives
2429 Rayburn House Office Building
Washington, D.C. 20515

Dear Colleague:

This responds to your letter of May 21, 2001 requesting a waiver, pursuant to section 102(a)(2)(C) of the Ethics in Government Act, of the reporting requirements for gifts received by you and your wife in connection with your wedding on May 26, 2001.

On behalf of the Committee, we grant your request. The Legislative Resource Center is being notified in accordance with the statutory requirement that waiver requests be made a part of the public record.

If you have any further questions, please contact the Committee's Office of Advice and Education at extension 5-7103.

Sincerely,

Joel Hefley
Joel Hefley
Chairman

Howard L Berman
Howard L. Berman
Ranking Minority Member

JH/HLB:sjp

Copy to: Legislative Resource Center
B-106 Cannon House Office Building
ATTENTION: Janice Glosson

JOEL HEFLEY, COLORADO
CHAIRMAN

ROB PORTMAN, OHIO
DOC HASTINGS, WASHINGTON
ASA HUTCHINSON, ARKANSAS
JUDY BIGGERT, ILLINOIS

ROBERT L. WALKER,
CHIEF COUNSEL/STAFF DIRECTOR
VIRGINIA JOHNSON,
COUNSEL TO THE CHAIRMAN
BARI L. SCHWARTZ,
COUNSEL TO THE RANKING
MINORITY MEMBER

ONE HUNDRED SEVENTH CONGRESS

U.S. House of Representatives

COMMITTEE ON STANDARDS OF
OFFICIAL CONDUCT

Washington, DC 20515–6328

HOWARD L. BERMAN, CALIFORNIA
RANKING MINORITY MEMBER

MARTIN OLAV SABO, MINNESOTA
ED PASTOR, ARIZONA
ZOE LOFGREN, CALIFORNIA
STEPHANIE TUBBS JONES, OHIO

SUITE HT-2, THE CAPITOL
(202) 225-7103

May 16, 2001

RECEIVED
MAY 2 1 2001
SANFORD D. BISHOP JR., M.C.

The Honorable Sanford D. Bishop, Jr.
U.S. House of Representatives
2429 Rayburn House Office Building
Washington, D.C. 20515

Dear Colleague:

This responds to your letter of April 18, 2001 requesting a waiver of the gift rule (House Rule 25, clause 5) to enable you and your fiancée, The Honorable Vivian O. Creighton, to accept gifts that you receive in connection with your wedding on May 26, 2001.

The gift rule authorizes the Committee on Standards of Official Conduct to waive the prohibitions on the acceptance of gifts contained therein "in an unusual case." The Committee has determined that a special occasion, such as a wedding, is an appropriate circumstance in which to exercise its waiver authority. Therefore, on behalf of the Committee, we grant your request.

Notwithstanding the grant of this waiver, you should exercise caution in accepting any gift that likely would not have been offered but for your status as a Member of the House. With regard to any such gift, you should consider its source, nature and value, and any possible conflict of interest with official duties.

You are reminded that if you are required by the Ethics in Government Act of 1978 (EIGA) to file a Financial Disclosure Statement you must report the source, a brief description, and the value of all gifts aggregating $260 or more in value from one source in a calendar year. Gifts of $100 or less need not be aggregated toward the $260 limit. If you also wish a waiver of the statutory reporting requirement, you must separately write to the Committee. Any such request will be made publicly available pursuant to section 102(a)(2)(C) of EIGA.

If you have any further questions, please contact the Committee's Office of Advice and Education at extension 5-7103.

Sincerely,

Joel Hefley

Joel Hefley
Chairman

Howard L. Berman

Howard L. Berman
Ranking Minority Member

JH/HLB:sjp

ROD R. BLAGOJEVICH
5TH DISTRICT, ILLINOIS

COMMITTEE ON
ARMED SERVICES

COMMITTEE ON
GOVERNMENT REFORM

FAX

Congreſs of the United States
Houſe of Repreſentatives
Washington, DC 20515–1305

E-MAIL: Rod.Blagojevich@mail.house.gov
WEBSITE: www.house.gov/blagojevich

331 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–1305
(202) 225–4061
FAX: (202) 225–5603

4064 NORTH LINCOLN AVENUE
CHICAGO, IL 60618
(773) 868–3240
FAX: (773) 868–0036

11 CONTI PARKWAY
ELMWOOD PARK, IL 60707
(708) 583–1948

(9)

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June 10, 2002

House Legislative Resource Center
U.S. House of Representatives
Washington, DC 20515

MC

VIA FAX

To Whom it May Concern:

My staff mailed my financial disclosure statement to your Washington address on May 14, 2002. The following is another copy of the statement as well as a copy of the postal receipt. Please refer to the copy until the original arrives.

Thank you for your assistance, if you need any further information, please contact Lucy Moog in my Chicago office at 773-868-3240.

Sincerely,

Rod R. Blagojevich

Rod R. Blagojevich
Member of Congress

THIS STATIONERY PRINTED ON PAPER MADE OF RECYCLED FIBERS

UNITED STATES POSTAL SERVICE

***** WELCOME TO *****
LINCOLN PARK POSTAL STORE
CHICAGO, IL 60614-2214
05/14/02 12:08PM

Store	USPS	Trans	72
Wkstn	sys5004	Cashier	KTX810
Cashier's Name		DIANA	
Stock Unit Id		WINDIANA	
PO Phone Number		773-929-2680	

1. First Class 5.09

Destination:	20515-6612
Weight:	5.60oz
Postage Type:	PVI
Total Cost:	5.09
Base Rate:	1.49

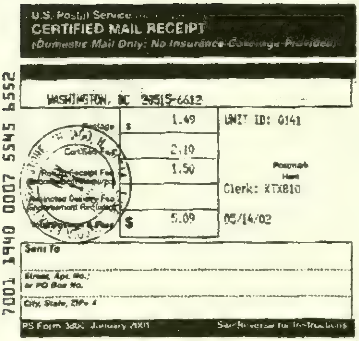
SERVICES

Certified Mail 2.10
70011940000755456552
Return Receipt 1.50

Subtotal	5.09
Total	5.09
Cash	5.09

Number of Items Sold: 1

Thank You
Please come again!



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WASHINGTON, DC 20515-6612

Postage	$ 1.49	UNIT ID: 0141
Certified Fee	2.10	
Return Receipt Fee (Endorsement Required)	1.50	Postmark Here
Restricted Delivery Fee (Endorsement Required)		Clerk: KTX810
Total Postage & Fees	$ 5.09	05/14/02

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City, State, ZIP+ 4

PS Form 3800, January 2001 See Reverse for Instructions

7001 1940 0007 5545 6552

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HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 9
For use by Members, officers, and employees

Rod R. Blagojevich
(Full Name)

2934 W. Sunnyside Chicago, IL 60625
(Mailing Address)

773-868-9240
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: IL District: 5th	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☑ No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rod Blagojevich	5-13-02

SCHEDULE I - EARNED INCOME

Name Rod R. Blagojevich

Page 2 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Rod Blagojevich, Attorney At Law Co-Council Fees	legal income on cases prior to 1-7-97	Gross$2,293 Net $ 2,163
United States Government	legislative salary	$145,100
Patricia Blagojevich & Associates incorporated as River Realty, Inc. on 4-30-01	Spouse Income-Real Estate Sales and Appraisal	N/A

;CHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rod R. Blagojevich

389

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Condominium at 663 W. Melrose A1, Chicago, Il	$100,001 - $250,000	RENT	$5,001 - $15,000	
SP	Merrill Lynch IRA Fundamental Growth B	$1,001 - $15,000	INTEREST/ DIVIDENDS/ CAPITAL GAINS	N/A Ira	
	John Hancock Sep/IRA Fund # 125	$15,001 - $50,000	DIVIDENDS /INTEREST/ CAPITAL GAINS	N/A Ira	
	AIM Sep/IRA Fund # 515	$15,001 - $50,000	DIVIDENDS/ INTEREST/ CAPITAL GAINS	N/A Ira	
	General Assembly Retirement State of Illinois	$15,001 - $50,000	DIVIDENDS/ INTEREST/ CAPITAL GAINS	N/A Retirement account	

;CHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rod R. Blagojevich

Page 4 of 9

	Sep/IRA-Janus Growth and Income Fund	$1,001 - $15,000	DIVIDENDS/ INTEREST/ CAPITAL GAINS	N/A Ira	
	Sep/IRA-Janus Olympus Fund	$1,001 - $15,000	DIVIDENDS /INTEREST/ CAPITAL GAINS	N/A Ira	
	Sep/IRA-Janus Special Situations Fund	$1,001 - $15,000	DIVIDENDS /INTEREST/ CAPITAL GAINS	N/A Ira	
	Datek Online- Sep/ IRA Bokerage acct Cash	$15,001 - $50,000	INTEREST	$1 - $200	
SP	Sep/IRA QQQ stock	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Sep/IRA SPY stock	$1,001 - $15,000	DIVIDENDS	NONE	p
SP	Datek Online Sep/Ira Brokerage Acct Cash	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Emulex stock	$1,001 - $15,000	DIVIDENDS	NONE	
JT	SR Young Investor Fund	$1,001 - $15,000	DIVIDENDS/ CAPITAL GAINS	$1 - $200	
JT	Janus Olympus Fund-see footnotes	$1,001 - $15,000	DIVIDENDS /INTEREST /CAPITAL GAINS	$1 - $200	
JT	John Hancock Stock-see footnotes	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	Tenet Health Care stock(purchased in 2000 for less than $1,000)	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name Rod R. Blagojevich

Page 6 of 9

leport any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities utures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not eport a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Sep/IRA QQQ stock	P	9-18-01	$1,001 - $15,000
SP	Sep/IRA SPY stock	P	9-18-01	$1,001 - $15,000
	SR Young Investor Fund	P	12 monthy contrihutions	$1,001 - $15,000
	Janus Olympus Fund-see footnotes	P	1/10/00	$1,001 - $15,000

;CHEDULE V - LIABILITIES

Name Rod R. Blagojevich	Page 6 of 9

eport liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest mount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, r appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at ie close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Firstar Bank, Chicago Il -bank changed name to US Bank in 2002	Mortgage on 663 W. Melrose A1, Chicago, Il	$15,001 - $50,000
SP	Bank One, Chicago Il	Equity loan on 663 W. Melrose A1, Chicago, Illinois	$15,001 - $50,000

;CHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Rod R. Blagojevich	Page 7 of 9

dentify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by ou, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and ne amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by ne sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported nder the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel rovided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Cordinadora Todo Puerto Rico con Vieques	May 18-21	Member: Wash.,DC--San Juan, Puerto Rico--Wash., DC Family: Chicago--San Juan, Puerto Rico--Chicago	Y	Y	Y	N/A

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(11)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page 1 of 9

Rod R. Blagojevich
(Full Name)

2934 W. Sunnyside Chicago, IL 60625
(Mailing Address)

773-868-3240
Daytime Telephone

MC (Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: IL District: 5th	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $250 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $250 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rod Blagojevich	5-13-02

Rod Blagojevich 5-13-02

SCHEDULE I - EARNED INCOME

Name Rod R. Blagojevich

Page 2 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Rod Blagojevich, Attorney At Law Co-Council Fees	legal income on cases prior to 1-7-97	Gross$2,293 Net $ 2,163
United States Government	legislative salary	$145,100
Patricia Blagojevich & Associates incorporated as River Realty, Inc. on 4-30-01	Spouse Income-Real Estate Sales and Appraisal	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rod R. Blagojevich

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	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Condominium at 663 W. Melrose A1, Chicago, Il	$100,001 - $250,000	RENT	$5,001 - $15,000	
SP	Merrill Lynch IRA Fundamental Growth B	$1,001 - $15,000	INTEREST/ DIVIDENDS/ CAPITAL GAINS	N/A Ira	
	John Hancock Sep/IRA Fund # 125	$15,001 - $50,000	DIVIDENDS /INTEREST/ CAPITAL GAINS	N/A Ira	
	AIM Sep/IRA Fund # 515	$15,001 - $50,000	DIVIDENDS/ INTEREST/ CAPITAL GAINS	N/A Ira	
	General Assembly Retirement State of Illinois	$15,001 - $50,000	DIVIDENDS/ INTEREST/ CAPITAL GAINS	N/A Retirement account	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rod R. Blagojevich

Page 4 of 9

	Sep/IRA-Janus Growth and Income Fund	$1,001 - $15,000	DIVIDENDS/ INTEREST/ CAPITAL GAINS	N/A Ira	
	Sep/IRA-Janus Olympus Fund	$1,001 - $15,000	DIVIDENDS /INTEREST/ CAPITAL GAINS	N/A Ira	
	Sep/IRA-Janus Special Situations Fund	$1,001 - $15,000	DIVIDENDS /INTEREST/ CAPITAL GAINS	N/A Ira	
	Datek Online- Sep/ IRA Bokerage acct Cash	$15,001 - $50,000	INTEREST	$1 - $200	
SP	Sep/IRA QQQ stock	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	Sep/IRA SPY stock	$1,001 - $15,000	DIVIDENDS	NONE	p
SP	Datek Online Sep/Ira Brokerage Acct Cash	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Emulex stock	$1,001 - $15,000	DIVIDENDS	NONE	
JT	SR Young Investor Fund	$1,001 - $15,000	DIVIDENDS/ CAPITAL GAINS	$1 - $200	
JT	Janus Olympus Fund-see footnotes	$1,001 - $15,000	DIVIDENDS /INTEREST /CAPITAL GAINS	$1 - $200	
JT	John Hancock Stock-see footnotes	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	Tenet Health Care stock(purchased in 2000 for less than $1,000)	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name Rod R. Blagojevich

Page 5 of 9

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Sep/IRA QQQ stock	P	9-18-01	$1,001 - $15,000
SP	Sep/IRA SPY stock	p	9-18-01	$1,001 - $15,000
	SR Young Investor Fund	P	12 monthy contributions	$1,001 - $15,000
	Janus Olympus Fund-see footnotes	P	1/10/00	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Rod R. Blagojevich

Page 6 of 9

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Firstar Bank, Chicago Il -bank changed name to US Bank in 2002	Mortgage on 663 W. Melrose A1, Chicago, Il	$15,001 - $50,000
SP	Bank One, Chicago Il	Equity loan on 663 W. Melrose A1, Chicago, Illinois	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Rod R. Blagojevich

Page 7 of 9

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Cordinadora Todo Puerto Rico con Vieques	May 18-21	Member: Wash.,DC--San Juan, Puerto Rico--Wash., DC Family: Chicago--San Juan, Puerto Rico--Chicago	Y	Y	Y	N/A

SCHEDULE IX - AGREEMENTS

Name Rod R. Blagojevich

Page 8 of 9

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
Various dates	Clifford Law Offices, Sussman Selig and Ross Law Office, Law office of Michael Nicholson, Kaplan and Sorosky Law Office,(all in Chicago, Illinois)	Co-Counsel Fees on outstanding legal cases which preceeded 1/7/97. To be paid on a contingency basis upon the settlement of the case. The date of the agreement was the date the case was signed, all prior to 1/7/97

FOOTNOTES

Name Rod R. Blagojevich

Page 9 of 9

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Inadvertantly not reported on the 2000 Statement. Purchased on 1/10/00	Janus Olympus Fund
2	Schedule III	Shares received-as policy holders- when John Hancock Mutual Insurance fund converted to a share holder ownership. Issued February 2000. Inadvertantly not reported on the 2000 statement	John Hancock Stock

SCHEDULE IX - AGREEMENTS

Name Rod R. Blagojevich	Page 8 of 9

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
Various dates	Clifford Law Offices, Sussman Selig and Ross Law Office, Law office of Michael Nicholson, Kaplan and Sorosky Law Office,(all in Chicago, Illinois)	Co-Counsel Fees on outstanding legal cases which preceeded 1/7/97. To be paid on a contingency basis upon the settlement of the case. The date of the agreement was the date the case was signed, all prior to 1/7/97

FOOTNOTES

Name Rod R. Blagojevich

Page 9 of 9

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	Inadvertantly not reported on the 2000 Statement. Purchased on 1/10/00	Janus Olympus Fund
2	Schedule III	Shares received-as policy holders- when John Hancock Mutual Insurance fund converted to a share holder ownership. Issued February 2000. Inadvertantly not reported on the 2000 statement	John Hancock Stock

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

Earl Blumenauer
(Full Name)

1406 Longworth Washington, DC 20515
(Mailing Address)

(202) 225-4811
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: OR District: 03	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Earl Blumenauer	May 15, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Earl Blumenauer

Page 2 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Mutual Beacon	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	NA
	Mutual Discovery	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	NA
	T.R. Price-New Asia	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
	Aetna Money Market Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	NA
	Aetna Fixed Plus Account	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	NA
	MFS Value Equity	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Earl Blumenauer

Page 3 of 7

	Scudder International Portfolio	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	NA
	Oregon Public Employee Retirement Account	$250,001 - $500,000	NA	NA	NA
	TSP Federal Employee	$50,001 - $100,000	NA	$2,501 - $5,000	NA
	MFS Emerging Equities	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	NA
	Melissa Anne Apartments, LLC 7720 E. Burnside Portland, OR	$50,001 - $100,000	Rent	$5,001 - $15,000	NA
	Apartments 3701-3705 SE 37th Place Portland, OR	$50,001 - $100,000	Rent	$5,001 - $15,000	NA
	Oak Street Rowhouse 1309 SE Oak Portland, OR	$100,001 - $250,000	Capital Gain	$50,001 - $100,000	Sold
	510 6th Street SE Duplex	$250,001 - $500,000	Rent	$5,001 - $15,000	NA
	Powell Gardens 3410 SE 33rd Portland, OR	$50,001 - $100,000	Rent	$5,001 - $15,000	NA
	Chelsea Court 130 NW 19th St Portland, OR	$100,001 - $250,000	Rent	$5,001 - $15,000	P in 1999
	Glisan Street Apts. 1701 NW Glisan Portland, OR	$15,001 - $50,000	Rent	$2,501 - $5,000	P
	Congressional Credit Union	$15,001 - $50,000	INTEREST	$201 - $1,000	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Earl Blumenauer

Page 4 of 7

	Bank of America (money market)	$50,001 - $100,000	INTEREST	$1,001 - $2,500	NA
	Schwab Money Market	$1,001 - $15,000	INTEREST	$201 - $1,000	NA
	Japan (Scudder) Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	NA
	Schwab 1000	$15,001 - $50,000	DIVIDENDS	$1 - $200	NA
	Schwab Small Cap	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	NA
	Calvert Social Balanced	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A

SCHEDULE V - LIABILITIES

Name Earl Blumenauer

Page 5 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Bank of America (Refinanced from Continental)	Mortgage 7720 E. Burnside Portland, OR	$15,001 - $50,000
	Washington Mutual (Refinanced from West One Bank)	Mortgage 3701-3705 SE 35th Place Portland, OR	$15,001 - $50,000
	Private note, DE Sprinkling	Mortgage 2441 NE Weidler	$250,001 - $500,000
	American Pac Bank	Mortgage Chelsea Court 130 NW 19th Portland, OR	$50,001 - $100,000
	M&T Realty Buffalo, NY	Mortgage Glisan Townhouses 1701 NW Glisan Portland, OR	$15,001 - $50,000
	M&T Realty Buffalo, NY	Mortgage Powell Gardens 3410 SE 33rd	$50,001 - $100,000
	Mellon Bank Paid Off	Mortgage 1309 SE Oak Street Portland, OR	N/A
	Private note with J.D. Holm, previous owner Paid Off	Mortgage 3803 SE 35th Portland, OR	N/A

SCHEDULE V - LIABILITIES

Name Earl Blumenauer

Page 6 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Northwest Mortgage Paid Off	Mortgage 510 SE 6th Washington, DC	N/A

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Earl Blumenauer

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Lincoln Land Institute	Jan. 11-14	Wash., D.C.-Phoenix, AZ	Y	Y	N	N/A
Boston Society of Architects	Apr. 27-29	Wash., D.C.-NYC, NY-Boston, MA	Y	Y	N	2 Days
International Assoc. for Public Participation	May 5-7	Portland, OR-Vancouver, BC	Y	Y	N	N/A
Steve Israel for Congress	May 20-21	Wash., D.C.-NYC, NY	Y	Y	N	N/A
Lincoln Land Institute	June 22-24	Wash., D.C.-Boston, MA	Y	Y	N	N/A
Sierra Club	June 30-July 5	Portland, OR-Ancourage, AK	Y	Y	N	N/A
Chatauqua Institute	July 26-27	Wash., D.C.-Chatauqua, NY	Y	Y	N	N/A
Rail~Volution	Nov. 29-Dec. 3	Wash., D.C.-San Fran, CA	Y	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

NANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(11)

LEGISLATIVE RESOURCE CENTER
2002 MAY -7 PM 3: 55
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

MC

Roy Blunt
(Full Name)

P.O. Box 278
Strafford, Mo 65757
(Mailing Address)

417-889-1800
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: Mo District: 7	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Roy Blunt	May 3, 2002

Name BLUNT, ROY	Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives	Salary	145,100.00
	Wilson's Creek NATIONAL BATTLEFIELD FOUNDATION – Spfld [illegible]	Spouse's Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name BLUNT, Roy

Page 3 of 6

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	Edward Jones Company 12555 Manchester RD St. Louis, MO 63131	Speech	4/11/01	1000^{00}
	Contribution: Mo Prison Fellowship P.O. Box 105121 Jefferson City, Mo 65110			

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

U.S. House of Representatives

REPORT OF CHARITABLE CONTRIBUTION IN LIEU OF HONORARIUM BY A REGISTERED LOBBYIST

A Member, Officer, or employee of the House of Representatives who asks a registered lobbyist to make a contribution to a charitable organization in lieu of paying an honorarium must complete this form and file it with the Clerk of the House of Representatives within 30 days after the request. The Clerk shall make this information public as soon as possible after it is filed.

NAME OF LOBBYIST MAKING THE CONTRIBUTION: Michael ESSER
EdWARD JONES Company

ADDRESS OF LOBBYIST: 12555 MANchester Rd.
ST. Louis, MO. 63131

DATE OF CONTRIBUTION: APRIL 11, 2001

AMOUNT OF CONTRIBUTION: $1000

NAME OF CHARITABLE ORGANIZATION: PRISON Fellowship
JANice Webb, DIRECTOR

ADDRESS OF CHARITABLE ORGANIZATION: P.O. BOX 105121
Jefferson City, MO 65110

NAME OF MEMBER, OFFICER OR EMPLOYEE: Roy BLUNT
(please print or type)

SIGNATURE OF MEMBER OFFICER OR EMPLOYEE: DATE: 4/24/01

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Blunt, Roy

Page 4 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

A None; B $1 – $1,000; C $1,001 – $15,000; D $15,001 – $50,000; E $50,001 – $100,000; F $100,001 – $250,000; G $250,001 – $500,000; H $500,001 – $1,000,000; I $1,000,001 – $5,000,000; J $5,000,001 – $25,000,000; K $25,000,001 – $50,000,000; L Over $50,000,000

BLOCK C

Type of Income

DIVIDENDS; RENT; INTEREST; CAPITAL GAINS; EXCEPTED TRUST; QUALIFIED BLIND TRUST; Other Type of Income (Specify: For Example, Partnership Income or Farm Income)

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

I None; II $1 – $200; III $201 – $1,000; IV $1,001 – $2,500; V $2,501 – $5,000; VI $5,001 – $15,000; VII $15,001 – $50,000; VIII $50,001 – $100,000; IX $100,001 – $1,000,000; X $1,000,001 – $5,000,000; XI Over $5,000,000

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

P, S, E

SP, DC, JT	Block A	Block B	Block C	Block D	Block E
SP	*Examples:* Mega Corp. Stock	E	DIVIDENDS	IV	P
DC	Simon & Schuster	Indefinite	Royalties	IX	
JT	1st Bank of Paducah, KY accounts	F	INTEREST	VI	
JT	Commercial Bldg 113 Plum St Stratford	D	RENT	VI	
JT	10 [illegible] Bancgather Blvd Stratford	D		I	
SP	WALMART Stores	C	DIVIDENDS	II	
SP	Churchill Coffee	D		I	
	Churchill Coffee	D		I	
	Guaranty Fed Bancshares	C	DIVIDENDS	II	
	Hartford MUTUAL FUND	C	DIVIDENDS	II	

For additional assets and unearned income, use next page.

Name BLUNT, Roy | Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
HALLMARK CARDS INC		5/7/01	Spfd, MO → KC, MO → DC	Y	Y	N	N
BURLINGTON-NORTHERN SANTAFE		6/25/01	DC → FORT WORTH, TX → DC	N	Y	N	N
American Israel Ed FOUNDN		8-18 to 8-26	Mo - Israel - Missouri	Y	Y	Y	N
EMERSON Electric		10/30/01	St Louis - WASHINGTON	N	N	N	N

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☐ *Original* ☐ *Amendment*

U.S. House of Representatives

MEMBER/OFFICER TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from private sources for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately funded travel on the annual Financial Disclosure Statements of those persons required to file them. In accordance with clause 5 of House Rule 26, complete this form and file it with the Clerk of the House of Representatives, B-106 Cannon House Office Building, within 30 days after travel is completed. The Clerk is to make these forms available to the public as soon as possible after they are filed. *Obtain the dollar amounts from the sponsor; if exact dollar amounts are unavailable, provide a good faith estimate.*

NAME OF MEMBER OR OFFICER (PRINT OR TYPE): Roy Blunt MO 07

NAME OF ACCOMPANYING FAMILY MEMBER (if any): ______

RELATIONSHIP TO MEMBER/OFFICER (check one): ____ spouse ____ child

DATES OF TRAVEL: 5/7/01

DATES AT PERSONAL EXPENSE: ______

ITINERARY: Spfd, MO → KC, MO → DC

SPONSOR (WHO PAID FOR THE TRIP): HAllMARK CARdS, INC.

PURPOSE OF TRIP: SpeAKiNG eNGAGEMENT

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U.S. HOUSE OF REPRESENTATIVES

TOTAL TRANSPORTATION EXPENSES:	
For Member or Officer:	/
For accompanying spouse or child:	
TOTAL LODGING EXPENSES:	
For Member or Officer:	137.02
For accompanying spouse or child:	
TOTAL MEAL EXPENSES:	
For Member or Officer:	40.00
For accompanying spouse or child:	
OTHER EXPENSES (specify):	
For Member or Officer:	/
For accompanying spouse or child:	

I have determined that all of the expenses listed above were necessary and that the travel was in connection with my duties as a Member or Officer of the U.S. House of Representatives and would not create the appearance that I am using public office for private gain.

SIGNATURE OF MEMBER OR OFFICER: Roy Blunt DATE: 5/24/01

Version date 4/2000

12/97

U.S. House of Representatives
EMPLOYEE TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from private sources for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately-funded travel on the annual Financial Disclosure Statements of those persons required to file them. In accordance with House Rule 51, complete this form and file it with the Clerk of the House of Representatives, B-106 Cannon House Office Building, within 30 days after travel is completed. The Clerk shall make these forms available to the public as soon as possible after they are filed. *Provide a good faith estimate of all expenses.*

NAME OF EMPLOYEE (PRINT OR TYPE): Roy Blunt

NAME OF ACCOMPANYING FAMILY MEMBER: ____________

RELATIONSHIP TO EMPLOYEE (check one): _____ spouse _____ child

DATES OF TRAVEL: Jun 25, 2001

DATES AT PERSONAL EXPENSE: ____________

DESTINATION(S): Ft. Worth, TX

SPONSOR (WHO PAID FOR THE TRIP): Burlington Northern Santa Fe

PURPOSE OF TRIP: Fact-finding trip

TOTAL TRANSPORTATION EXPENSES:

For employee: $1,483.75

For accompanying spouse or child: ____________

TOTAL LODGING EXPENSES:

For employee: —

For accompanying spouse or child: ____________

TOTAL MEAL EXPENSES:

For employee: $33.00

For accompanying spouse or child: ____________

TOTAL OF ALL OTHER EXPENSES:

For employee: —

For accompanying spouse or child: ____________

SIGNATURE OF EMPLOYEE: ____________ DATE:

I authorized this travel in advance. I have determined that all of the expenses

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☒ *Original* ☐ *Amendment*

U.S. House of Representatives

MEMBER/OFFICER TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from private sources for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately funded travel on the annual Financial Disclosure Statements of those persons required to file them. In accordance with clause 5 of House Rule 25, complete this form and file it with the Clerk of the House of Representatives, B-106 Cannon House Office Building, within 30 days after travel is completed. The Clerk is to make these forms available to the public as soon as possible after they are filed. *Obtain the dollar amounts from the sponsor; if exact dollar amounts are unavailable, provide a good faith estimate.*

NAME OF MEMBER OR OFFICER (PRINT OR TYPE): Roy Blunt

NAME OF ACCOMPANYING FAMILY MEMBER (if any): ______

RELATIONSHIP TO MEMBER/OFFICER (check one): ____ spouse ____ child

DATES OF TRAVEL: Aug. 18th – Aug. 26th

DATES AT PERSONAL EXPENSE: ______

ITINERARY: Israel

SPONSOR (WHO PAID FOR THE TRIP): American Israel Education Foundatio

PURPOSE OF TRIP: Educational mission

TOTAL TRANSPORTATION EXPENSES:	
For Member or Officer:	$3283.1
For accompanying spouse or child:	
TOTAL LODGING EXPENSES:	
For Member or Officer:	$1011.85
For accompanying spouse or child:	
TOTAL MEAL EXPENSES:	
For Member or Officer:	$695.65
For accompanying spouse or child:	
OTHER EXPENSES (specify):	
For Member or Officer:	$493
For accompanying spouse or child:	

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U.S. HOUSE OF REPRESENTATIVES

I have determined that all of the expenses listed above were necessary and that the travel was in connection with my duties as a Member or Officer of the U.S. House of Representatives and would not create the appearance that I am using public office for private gain.

SIGNATURE OF MEMBER OR OFFICER: Roy Blunt DATE: 9/24/01

Version date 1/2001

☐ *Original* ☐ *Amendment*

U.S. House of Representatives

MEMBER/OFFICER TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from private sources for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately funded travel on the annual Financial Disclosure Statements of those persons required to file them. In accordance with clause 5 of House Rule 25, complete this form and file it with the Clerk of the House of Representatives, B-106 Cannon House Office Building, within 30 days after travel is completed. The Clerk is to make these forms available to the public as soon as possible after they are filed. *Obtain the dollar amounts from the sponsor; if exact dollar amounts are unavailable, provide a good faith estimate.*

NAME OF MEMBER OR OFFICER (PRINT OR TYPE): Roy Blunt

NAME OF ACCOMPANYING FAMILY MEMBER (if any): —

RELATIONSHIP TO MEMBER/OFFICER (check one): ___ spouse ___ child

DATES OF TRAVEL: October 30, 2004

DATES AT PERSONAL EXPENSE: None

ITINERARY: St. Louis, MO → Dulles Airport

SPONSOR (WHO PAID FOR THE TRIP): Emerson Electric

PURPOSE OF TRIP: Meetings

TOTAL TRANSPORTATION EXPENSES:	
For Member or Officer:	$958.00
For accompanying spouse or child:	—
TOTAL LODGING EXPENSES:	
For Member or Officer:	—
For accompanying spouse or child:	—
TOTAL MEAL EXPENSES:	
For Member or Officer:	—
For accompanying spouse or child:	—
OTHER EXPENSES (specify):	
For Member or Officer:	—
For accompanying spouse or child:	—

I have determined that all of the expenses listed above were necessary and that the travel was in connection with my duties as a Member or Officer of the U.S. House of Representatives and would not create the appearance that I am using public office for private gain.

SIGNATURE OF MEMBER OR OFFICER: Roy Blunt

DATE: ______

Version date 1/2001

Name Blunt, Roy | Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	Did not extend position.
	NONE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
		Did Not extend Agreement.
	NONE	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 23 PM 3:45
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

⑨ MC

(Office Use Only)

Sherwood L. Boehlert (Full Name)

2246 RHOB Washington D.C. 20515 (Mailing Address)

202-225-3665 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives — State: NY District: 23	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Sherwood Boehlert	5/15/02

Name SB | Page 1 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

Name SB

Page 2 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source		Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
NONE				

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name SB

Page 3 of 8

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000
Examples: SP	Mega Corp. Stock					X							
	Simon & Schuster		Indefinite										
	1st Bank of Paducah, KY accounts						X						
JT	NBT				X								
JT	UTICA BASEBALL CLUB LIMITED PARTNERSHIP			X									
JT	MEDTRONIC			X									
	NEW ECONOMY (IRA)				X								
SB	" " (IRA)				X								
JT	PUTNAM CAPITAL APPRECIATION FUND			X									

SP, DC, JT	Asset and/or Income Source	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock	X										X								P
	Simon & Schuster							Royalties									X			
	1st Bank of Paducah, KY accounts			X										X						
JT	NBT	X										X								
JT	UTICA BASEBALL CLUB LIMITED PARTNERSHIP								X											
JT	MEDTRONIC	X								X										
	NEW ECONOMY (IRA)									N/A										
SB	" " (IRA)									N/A										
JT	PUTNAM CAPITAL APPRECIATION FUND	X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name SB

Page 4 of 8

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	PUTNAM INT'L GROWTH			X										X			X								X							S
JT	PUTNAM INT GROWTH + INCOME			X										X								X										
JT	PUTNAM VOYAGER II			X										X			X								X							S
JT	CISCO																				X											
JT	~~[illegible]~~ SON MICROSYSTEMS			X																	X											
JT	TELERGY		X																		X											
JT	ORACLE			X																	X											

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SCHEDULE IV — TRANSACTIONS

Name

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	PUTNAM INTERNATIONAL GROWTH		X		3-28-01	X									
JT	PUTNAM VOYAGER		X		2-5-01	X									

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SCHEDULE V — LIABILITIES

Name

Page 6 **of** 8

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE		

Use additional sheets if more space is required.

Name	Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NONE						

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Name

Page 8 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
LIMITED PARTNER	UTICA BASEBALL CLUB

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

SHERWOOD BOEHLERT
23D DISTRICT, NEW YORK

COMMITTEES:
CHAIR, HOUSE COMMITTEE ON SCIENCE

TRANSPORTATION AND INFRASTRUCTURE

HOUSE PERMANENT SELECT COMMITTEE
ON INTELLIGENCE

U.S. DELEGATION, NORTH ATLANTIC ASSEMBLY
CHAIRMAN, NORTHEAST AGRICULTURE CAUCUS
CHAIRMAN, MINOR LEAGUE BASEBALL CAUCUS

Congress of the United States
House of Representatives
Washington, DC 20515–3223

WASHINGTON OFFICE:
2246 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–3223
(202) 225–3665
Fax: (202) 225–1891
Web Address: www.house.gov/boehlert/

CENTRAL OFFICE:
ALEXANDER PIRNIE FEDERAL BUILDING
10 BROAD STREET
UTICA, NY 13501
(315) 793–8146
Fax: (315) 798–4099

TOLL FREE: 1–800–235–2525

Memorandum

To: The Clerk, U.S. House of Representatives; Legislative Resource Center

From: Congressman Sherwood Boehlert

Date: June 13, 2002

MC ✓

Re: Amendment to Financial Disclosure Statement for calendar year 2002 ⑩

Under Schedule III, page 5 of my 2002 Financial Disclosure Statement, I would like to add to my "Cisco" line in Block B value D Year-End Value of Asset $15,001 - $50,000. In my original statement the line for Block B was mistakenly left blank.

Thank you for adding this as an amendment to my most recent Financial Disclosure. If you have any questions please contact my Executive Assistant, john Konkus at 202-225-3665.

Sherwood L. Boehlert
Member of Congress

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 JUN 14 PM 3:58
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

THIS STATIONERY PRINTED ON PAPER MADE OF RECYCLED FIBERS

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 14 PM 3:58
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Sherwood L. Boehlert
(Full Name)

2246 Rayburn House office Building
Washington, DC 20515
(Mailing Address)

Daytime Telephone: 202-225-3665

(Office Use Only)

Filer Status ☒ Member of the U.S. House of Representatives State: NY District: 23 ☐ Officer or Employee Employing Office:

Report Type ☐ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☐ **No** ☒	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐ **No** ☒	
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒ **No** ☐	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☒ **No** ☐	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐ **No** ☒	
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐ **No** ☒	
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☐ **No** ☒	
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☒ **No** ☐	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐ **No** ☒	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? **Yes** ☐ **No** ☒

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? **Yes** ☐ **No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Sherwood Boehlert	05/15/2002

Name Sherwood L. Boehlert	Page 1 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
NONE			

For payments to charity in lieu of honoraria, use Schedule II.

Name Sherwood L. Boehlert

Page 2 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Sherwood L. Boehlert

Page: 3 of 8
4 4

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	NBT													X																		
JT	Utica Baseball Club Limited Partnership			X																	X											
JT	Medronic			X										X																		
	New Economy (IRA)																					NA										
SB	New Economy (IRA)																					NA										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sherwood L. Boehlert

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Page 2 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
JT	Putman Capital Appreciation Fund			X										X																		
JT	Putnam Int'l Growth			X										X											X							S
JT	Putnam Int'l Groth & Income			X										X																		
JT	Putnam Voyager II			X										X											X							S
JT	Cisco																				X											
JT	Sun Microsystems			X																	X											
JT	Telergy																				X											
JT	Oracle			X																	X											

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SCHEDULE IV — TRANSACTIONS

Name Sherwood L. Boehlert

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10–12–01		X								
JT	Putnam International Growth		x		3-28-01										
JT	PutnamnVoyager		x		2-5-01										

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Name Sherwood L. Boehlert | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name Sherwood L. Boehlert	Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	NONE						

This page may be copied if more space is required.

Name Sherwood L. Boehlert	**Page** 7 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Limited Partner	Utica Baseball Club

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

Page 1 of 8

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MC

John Andrew Boehner
(Full Name)

7371 Charter Cup Lane West Chester, OH 45069
(Mailing Address)

202-225-6205
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: OH District: 8	☐ Officer Or Employee — Employing Office:
Report Type	[✓ ☑ Annual (May 15)]	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John A. Boehner	5/14/02

Name John Andrew Boehner

SCHEDULE I - EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Sibcy Cline Real Estate	Spouse-Commissions	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Andrew Boehner

Page 3 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Nucite Sales, Inc	$250,001 - $500,000	Dividends	$100,001 - $1,000,000	N/A
	Nucite Sales, Inc Pension Plan Trust	$500,001 - $1,000,000	N/A/	N/A	N/A
	Nucite Sales, Inc Profit Sharing Trust	$500,001 - $1,000,000	N/A	N/A	N/A
	State of Ohio Deferred Compensation Plan	$100,001 - $250,000	N/A	N/A	N/A
	State of Ohio Public Employee Retirement System	$15,001 - $50,000	N/A	N/A	N/A
	Wright Patmen Congressional Federal Credit Union	$100,001 - $250,000	Interest	$5,001 - $15,000	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Andrew Boehner

	First National Bank of Southwest Ohio	$15,001 - $50,000	Interest	$201 - $1,000	N/A
	American Funds EuroPacific Growth Fund	$50,001 - $100,000	Dividends and Capital Gains	$1,000-$15,000	P
	American Funds Small Cap. World Fund	$15,001 - $50,000	Dividends	$1 - $200	P
	Victory Small Co. Opportunity Mutual Fund	$15,001 - $50,000	None	$5,001 - $15,000	P,S
	Victory Diversified Mutual Fund	$50,001 - $100,000	Dividends and Capital Gains	$1,000-$5,000	P
	Ohio Municipal Cash Trust Mutual Fund	$1,001 - $15,000	Dividends	$201 - $1,000	N/A
	Growth Fund of America	$15,001 - $50,000	None	N/A	P
	Lord Abbett Mid-Cap Value Fund	$15,001 - $50,000	None	N/A	P
	Rolling Ridge Associates, Real Estate Limited Partnership, owns Rolling Ridge Apts. Montana Avenue, Cincinnati, Ohio	$1,001 - $15,000	Interest/Dividends	$2,501 - $5,000	N/A
	7908 Cincinnati-Dayton Road, Suite 1, West Chester, Ohio - Office Building	$100,001 - $250,000	Rent	$15,001 - $50,000	N/AA
	Farm Property Pantego, North Carolina	$1,001 - $15,000	Rent	$201 - $1,000	N/A
	First Financial BanCorp.	$5,001-$15,000	Dividends	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name John Andrew Boehner

Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	American Funds EuroPacific Growth Fund	P.	Various	$1,001 - $15,000
JT	Victory Diversified Mutual Fund	P.	Various	$1,001 - $15,000
JT	Victory Small Co. Opportunity Fund	P.	Various	$1,001 - $15,000
JT	Victory Small Co. Opportunity Fund	Sale	6/7/01	$35,000
JT	American Funds Small Cap.	P	Various	$15,001 - $50,000
JT	Growth Fund of America	P.	Various	$15,001 - $50,000
JT	Lord Abbet Mid-Cap Fund	P.	Various	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Andrew Boehner

Page 6 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	Feb. 16-20	Wash. D.C.-St. Petersburg, FL--Wash. D.C.	Y	Y	N	N/A
The Aspen Institute	Mar. 9-11	Wash. D.C.-Greenbrier, W.V.--Wash. D.C.	Y	N	N	N/A
Chicago Mercantile Exchange	Mar. 15-18	Wash. D.C.-Boca Raton, FL-Wash. D.C.	Y	Y	Y	N/A
CSX Corporation	May 26-29	Wash. D.C.-Greenbriar, WV-Wash. D.C.-Greenbrier, WV-Hamilton, OH	Y	Y	Y	N/A
Nuclear Energy Institute	June 29-July 6	Cincinnati, OH-Paris, France-Avignon,France-Paris,France-Cincinnati, OH	Y	Y	Y	N/A
Ripon Educational Society	August 11-18	Cincinnati, OH-Edinburgh, Scotland-Cincinnati, OH	Y	Y	Y	N/A
Mead Corporation/Coca-Cola Enterprises	Sept. 7-10	Wash. D.C.-Kingsland, GA-Wash. D.C.	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name John Andrew Boehner	Page 7 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Officer-Non Comp.	Nucite Sales, Inc
Limited Partner	Nucite Sales LP
Limited Partner	Rolling Ridge Associates

SCHEDULE IX - AGREEMENTS

Name John Andrew Boehner

Page 8 of 8

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
N/A	Nucite Sales, Inc. Pension Plan and Profit Sharing Plans	Continued interest, no additional contribution
N/A	State of Ohio Pension and Deferred Compensation Plans	Continued interest, no additional contribution
N/A	Nucite Sales, LP	Limited Partnership

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 14
For use by Members, officers, and employees

Henry Bonilla
(Full Name)

19 Sanctuary Drive San Antonio, TX 78248
(Mailing Address)

202-225-4511
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 23	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-14-02

SCHEDULE I - EARNED INCOME

Name Henry Bonilla

Page 2 of 14

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Belo Management Services	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry Bonilla

Page 3 of 14

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	USAA Life Insurance Company	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
JT	USAA Federal Savings Bank	$15,001 - $50,000		NONE	
JT	USAA Income Stock Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	ANDRX GROUP DELAWARE	$15,001 - $50,000		NONE	P
SP	ADOBE SYS	$15,001 - $50,000		NONE	P
SP	AVALONBAY CMMUN INC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry Bonilla

SP	BROADCOM CORP	$1,001 - $15,000		NONE	
SP	BOSTON PPTYS INC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	BIOMET INC	$50,001 - $100,000	DIVIDENDS	$1 - $200	
SP	BRINKER INTL INC	$15,001 - $50,000		NONE	
SP	CISCO SYSTEMS INC	$15,001 - $50,000		NONE	
SP	CONAGRA FOODS INC	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
SP	DUKE REALTY CORP	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	EMC CORPORATION MASS	$1,001 - $15,000		NONE	
SP	EDUCATION MGMT COPR	$15,001 - $50,000		NONE	P
SP	EQUITY OFFICE PPTYS	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	EDWARDS LIFESCIENCES CRP	$15,001 - $50,000		NONE	P
SP	FPL GROUP INC	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	FINISAR CORP	$1,001 - $15,000		NONE	
SP	FOOT LOCKER INC	$15,001 - $50,000		NONE	E

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry Bonilla

Page 5 of 14

SP	IDEC PHARMCTLS CORP	$15,001 - $50,000		NONE	
SP	LIFEPOINT HOSPS INC	$15,001 - $50,000		NONE	P
SP	MANOR CARE INC	$15,001 - $50,000		NONE	P
SP	MEDQUIST INC	$15,001 - $50,000		NONE	P
SP	MID ATLANTIC MED SVCS	$50,001 - $100,000		NONE	
SP	MITCHELL ENERGY & DEV CP	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	OFFSHORE LOGISTICS	$15,001 - $50,000		NONE	
SP	ORACLE CORP	$1,001 - $15,000		NONE	P
SP	PROGRESS ENERGY INC	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	SUMMIT PROPERTIES INC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	SABRE HOLDINGS CORP	$15,001 - $50,000		NONE	
SP	SCHERING PLOUGH CORP	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	TECO ENERGY INC	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	TARO PHARMACEUTICAL INDS	$15,001 - $50,000		NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry Bonilla

Page 6 of 14

SP	TXU CORP	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
SP	UNITEDHEALTH GROUP INC	$15,001 - $50,000		NONE	P
SP	VERISIGN INC	$15,001 - $50,000		NONE	
JT	AMERISOURCEBERGEN CORP	$15,001 - $50,000		NONE	P
JT	ARGOSY GAMING CORP	$1,001 - $15,000		NONE	P
JT	AUTODESK INC	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	BECKMAN COULTER	$15,001 - $50,000		NONE	P
JT	BLACKROCK INC	$15,001 - $50,000		NONE	P
JT	CLOSURE MED CORP	$15,001 - $50,000		NONE	P
JT	DST SYSTEMS INC	$15,001 - $50,000		NONE	
JT	FOREST LABS INC	$15,001 - $50,000		NONE	P
JT	HARTE-HANKS INC	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
JT	INTEL CORP	$15,001 - $50,000		NONE	P
JT	PEROT SYSTEMS CP	$15,001 - $50,000		NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry Bonilla

Page 7 of 14

JT	PINNACLE WEST CAP CORP	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
JT	RESMED INC	$15,001 - $50,000		NONE	P
JT	STEWART INFO SVC CRP	$1,001 - $15,000		NONE	P
JT	TRIGON HEALTHCARE INC	$15,001 - $50,000		NONE	
DC	COUSINS PROPS INC	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	DEVELOPERS DVSFD RLTY CP	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	HIGHWOODS PPTYS INC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	HRPT PPTYS	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
DC	KIMCO REALTY CORP	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
DC	STORAGE USA INC	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	VORNADO REALTY TRUST	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	HARTE-HANKS INC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	MACK CALI REALTY CORP	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
DC	MISSION WEST PPTYS INC	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry Bonilla

Page 8 of 14

DC	MISSION WEST PPTYS INC	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	ORTHODONTIC CTRS INC	$15,001 - $50,000		NONE	P

SCHEDULE IV - TRANSACTIONS

Name Henry Bonilla

Page 9 of 14

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	ADOBE SYS	P	07-13-01	$15,001 - $50,000
SP	AVALONBAY CMMUN INC	P	02-09-01	$15,001 - $50,000
SP	DUKE REALTY CORP	P	02-09-01	$15,001 - $50,000
SP	EDUCATION MGMT COPR	P	07-13-01	$15,001 - $50,000
SP	EQUITY OFFICE PPTYS	P	02-09-01	$15,001 - $50,000
SP	EDWARDS LIFESCIENCES CRP	P	07-13-01	$15,001 - $50,000
SP	FPL GROUP INC	P	02-09-01	$15,001 - $50,000
SP	LIFEPOINT HOSPS INC	P	02-09-01	$15,001 - $50,000
SP	MANOR CARE INC	P	02-09-01	$15,001 - $50,000
SP	MEDQUIST INC	P	07-13-01	$15,001 - $50,000
SP	MITCHELL ENERGY & DEV CP	P	07-13-01	$15,001 - $50,000
SP	ORACLE CORP	P	02-09-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Henry Bonilla

Page 10 of 14

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	PROGRESS ENERGY INC	P	02-09-01	$15,001 - $50,000
SP	SUMMIT PROPERTIES INC	P	02-09-01	$15,001 - $50,000
SP	SCHERING PLOUGH CORP	P	07-13-01	$15,001 - $50,000
SP	TECO ENERGY INC	P	02-09-01	$15,001 - $50,000
SP	TARO PHARMACEUTICAL INDS	P	07-13-01	$15,001 - $50,000
SP	TXU CORP	P	02-09-01	$15,001 - $50,000
SP	UNITEDHEALTH GROUP INC	P	07-13-01	$15,001 - $50,000
SP	BOSTON PPTYS INC	P	02-09-01	$15,001 - $50,000
SP	ANDRX GROUP DELAWARE	P	07-13-01	$15,001 - $50,000
JT	AMERISOURCEBERGEN CORP	P	02-09-01	$15,001 - $50,000
JT	ARGOSY GAMING CORP	P	07-13-01	$15,001 - $50,000
JT	BECKMAN COULTER	P	11-20-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Henry Bonilla

Page 11 of 14

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	BLACKROCK INC	P	07-13-01	$15,001 - $50,000
JT	CLOSURE MED CORP	P	11-20-01	$15,001 - $50,000
JT	FOREST LABS INC	P	02-09-01	$15,001 - $50,000
JT	INTEL CORP	P	11-20-01	$15,001 - $50,000
JT	PEROT SYSTEMS CP	P	11-20-01	$15,001 - $50,000
JT	RESMED INC	P	07-13-01	$15,001 - $50,000
JT	STEWART INFO SVC CRP	P	11-20-01	$15,001 - $50,000
DC	ORTHODONTIC CTRS INC	P	07-13-01	$15,001 - $50,000
SP	CONAGRA FOODS INC	P	2-9-01	$1,001 - $15,000
SP	FOOT LOCKER INC	E	11-5-01	$15,001 - $50,000
JT	AETHER SYSTEMS INC	S	7-13-01	$15,001 - $50,000
JT	CMS ENERGY CORP	S	7-13-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Henry Bonilla

Page 12 of 14

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	EMC CORPORATION MASS	S	2-14-01	$100,001 - $250,000
JT	SYMBOL TECHNOLOGIES DELA	S	2-14-01	$15,001 - $50,000
JT	THERMA WAVE INC	S	7-13-01	$1,001 - $15,000
JT	YAHOO INC CAL	S	11-26-01	$1,001 - $15,000
SP	APPLIED MICRO CIRCUITS	S	7-13-01	$1,001 - $15,000
SP	AETHER SYSTEMS INC	S	7-13-01	$1,001 - $15,000
SP	ARIBA INC	S	7-13-01	$1,001 - $15,000
SP	ANALOG DEVICES INC	S	2-14-01	$15,001 - $50,000
SP	CMS ENERGY CORP	S	2-9-01	$1,001 - $15,000
SP	LINEAR TECHNOLOGY CORP	S	7-13-01	$15,001 - $50,000
SP	MERCURY INTERACTIVE CORP	S	7-13-01	$15,001 - $50,000
SP	MICROSHIP TECHNOLOGY CORP	S	2-9-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Henry Bonilla

Page 13 of 14

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	99 CENTS ONLY STORES	S	2-9-01	$15,001 - $50,000
SP	PMC SIERRA INC	S	7-13-01	$1,001 - $15,000
SP	SCI SYS INC	S	7-13-01	$15,001 - $50,000
SP	SUN MICROSYSTEMS INC	S	2-9-01	$15,001 - $50,000
SP	TRANSWITCH CORP	S	7-13-01	$1,001 - $15,000
SP	VERITAS SOFTWARE	S	7-13-01	$15,001 - $50,000
SP	VENATOR GROUP INC	E	11-5-01	$15,001 - $50,000
SP	WEBTRENDS CORP	S	2-14-01	$1,001 - $15,000
DC	CMS ENERGY CORP	S	7-13-01	$1,001 - $15,000
DC	CMS ENERGY CORP	S	7-13-01	$1,001 - $15,000
SP	PALM INC	S	7-13-01	$1,001 - $15,000
SP	VITRIA TECHNOLOGY INC	S	2-14-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Henry Bonilla

Page 14 of 14

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute	Mar. 9-11	Wash. D.C. – White Sulphur Springs, WV – Wash. D.C.	Y	Y	N	N/A
Grocery Manufacturers of America	Jun. 8-10	Wash. D.C. --White Sulphur Springs, WV -- Wash. D.C.	Y	Y	Y	N/A

HENRY BONILLA
23D DISTRICT, TEXAS

2458 RAYBURN OFFICE BUILDING
WASHINGTON, DC 20515
2) 225–4511

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Congress of the United States
House of Representatives
Washington, DC 20515–4323

COMMITTEE ON APPROPRIATIONS

CHAIRMAN – SUBCOMMITTEE ON AGRICULTURE

SUBCOMMITTEE ON DEFENSE

SUBCOMMITTEE ON FOREIGN OPERATIONS

June 12, 2002

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B106 Cannon HOB
Washington, DC 20515-6612

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✓
MC

Please amend my Financial Disclosure Statement for Calendar Year 2001. The following information should be added to **Schedule III – Assets and "Unearned" Income:**

JT ML MEDIA PARTNERS $15,001 - $50,000 Interest $201 - $1,000

In addition, MISSION WEST PPTYS INC was entered twice on **Schedule III** and should only be listed once.

If you require any additional information, please contact me at (202)225-4511.

Sincerely,

Henry Bonilla
Member of Congress

PLEASE REPLY TO:

☐ 11120 WURZBACH, SUITE 300
SAN ANTONIO, TX 78230
(210) 697-9055

☐ 1300 MATAMOROS ST., SUITE 113B
LAREDO, TX 78040
(956) 726-4682

☐ 111 E. BROADWAY, SUITE 101
DEL RIO, TX 78840
(830) 774-6547

☐ 4400 N. BIG SPRING, SUITE 211
MIDLAND, TX 79705
(915) 686-8833

http://www.house.gov/bonilla

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

David Edward Bonior
(Full Name)

52 Belleview Mount Clemens, MI 48043
(Mailing Address)

202-225-2106
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: MI District: 10	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	David E Bonior	May 5- 02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David Edward Bonior

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Wright Patman Cong. FCU	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Wright Patman Cong. FCU	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Wright Patman Cong. FCU	$15,001 - $50,000	N/A - (IRA)	N/A - (IRA)	
SP	Evergreen Funds Small Co. Growth Fund A	$15,001 - $50,000		NONE	
JT	Community Central Bank	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Citizens Funds - Money Market Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name David Edward Bonior

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
AFL-CIO	Feb. 11-14	Detroit--Los Angeles--Wash., DC	Y	Y	N	N/A
The Aspen Institute (Bipartisan Retreat)	March 9-10	Wash. D.C -- White Sulphur Springs, WV	Y	Y	Y	N/A
International Association of Machinists and Aerospace Workers	April 27-28	Detroit--Chicago--Detroit	Y	Y	N	N/A
American Federation of State, County, and Municipal Employees	June 28	Wash. D.C.--Chicago--Detroit	N	N	N	N/A
Association of Pakistani Physicians of North America	July 7	Saginaw, MI--Chicago--Detroit	N	N	N	N/A
United Auto Workers (Region 1D)	Aug. 18-19	Mt. Clemens, MI--Onaway, MI --Mt. Clemens, MI (lodging and food only)	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name David Edward Bonior

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Gallaudet University
Advisory Board Member	Flagler College - Center on Government and Public Policy

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

MARY BONO
(Full Name)

64505 VIA AMANTE
(Mailing Address)

PALM SPRINGS CALIFORNIA 92264

Daytime Telephone: (202) 225-5330

Filer Status	☒ Member of the U.S. House of Representatives State: CA District: 44	☐ Officer or Employee	Employing Office: HR/MEMBER SERVICES
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mary Bono	5/15/02

Name MARY BONO

Page 1 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	AFTRA RETIREMENT FUND	PENSION	$6,024
	AFTRA RETIREMENT FUND	PENSION	$ 37,716
	WYOMING WEST DESIGN, LLC	SPOUSE K-1 INCOME	

For payments to charity in lieu of honoraria, use Schedule II.

Name MARY BONO

Page 2 of 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name MARY BONO

Page 3 of 10

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	UNION BANK OF CALIFORNIA				X											X								X								
	MERRILL LYNCH CMA				X									X											X							
	MERRILL LYNCH I SHARES							X						X											X							
	MERRILL LYNCH S&P 500	X												X			X								X							
	MERRILL LYNCH STANDARD & POORS	X												X										X								
	MERRILL LYNCH BANK ADVANTAGE			X													X						X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name MARY BONO

Page 4 of 10

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $16,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	MERRILLLYNCH/MUNI BONDS							X								X																
	MERRILL LYNCH/OED	X														X									X							
	ML BANK RASP-IRA													X									X									
	FING CORP STRIPS-IRA					X								PAID ON MATURITY							PAID ON MATURITY											
	I SHARES-IRA													X																		
	BONO COLLECTION TRUST							X												ROYALTY									X			
	WALT DISNEY	X																		ROYALTY			X									
	WARNER MUSIC GROUP	X																		ROYALTY							X					
	RECORDING INC. ASSOC.	X																		ROYALTY												
	UNION BANK OF CALIFORNIA															X																
	ML BANKING ADVANTAGE															X																
	ML CMA/ READY ASSET			X										X																		
	FED HOME LOAN MORTGAGE															X																
	MERRILL LYNCH I SHARES													X									X									
	MERRILL LYNCH STD & POORS	X												X									X									
	MERRILL LYNCH S&P 500	X												X									X									
	MERRILL LYNCH /OED	X														X							X									
	BONO COLLECTION TRUST																			ROYALTY								X				
	BONO COLLECTION TRUST	X														X							X									
	WARNER MUSIC GROUP	X																		ROYALTY												
	RECORDING IND. ASSOC.	X																		ROYALTY			X									
	BONO COLLECTION TRUST	X														X							X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name MARY BONO

Page 5 of 10

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	UNION BANK OF CALIFORNIA				X											X						X										
	ML BANKING ADVANTAGE		X													X								X								
	ML CMA/READY ASSET		X											X																		
	FED HM LOAN MORTGAGE			X												X								X								
	US TREASURY STRIPS				X									PAID ON MATURITY							PAID ON MATURITY											
	FINANCIAL CORP STRIPS				X									PAID ON MATURITY							PAID ON MATURITY											
	M.L. MUNI BONDS			X												X					X											
	M.L. I SHARES					X								X									X									
	M.L. STANDARD & POORS	X												X																		
	M.L. S&P 500	X												X										X								
	M.L. -OLD	X														X								X								
	M.L. -OLD TREASURY	X														X								X								
	BONO COLLECTION TRUST					X														ROYALTY								X				
	WARNER MUSIC GROUP	X																		ROYALTY												
	RECORDING INC. ASSOC.	X																		ROYALTY												
	WYOMING WEST DESIGN,LLC			X												X						X										
	HGRR, LLC			X												X					X											
	FEDERAL HOME LOAN BANK				X											X					X											
	FEDERAL HOME LOAN BANK				X											X					X											

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SCHEDULE IV — TRANSACTIONS

Name MARY BONO

Page 6 of 10

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10-12-01		X								
	I SHARES				9-17-01										
	I SHARES				11-01-01										
	I SHARES - IRA				9-17-01										
	FEDERAL HOME LOAN BANK				11-14-01		X								
	I SHARES				9-17-01		X								
	FEDERAL HOME LOAN BANK				11-14-01		X								
	I SHARES				9-17-01		X								
	STANDARD & POORS		X		9-17-01				X						
	DAF S & P 500 TRUST		X		2-21-01				X						
	DAF S & P 500 TRUST		X		9-17-01										
	DAF S & P 500 TRUST		X		10-31-01	X									
	LAS VIRGENES CA MUN WTR		X		11-01-01		X								
	CATS SERIES R		X		2-15-01		X								
	STD & POORS		X		9-17-01		X								
	DAF S&P 500 TRUST		X		2-21-01										
	DAF S&P 500 TRUST		X		9-17-01		X								

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Name MARY BONO | Page 7 of 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	S & P DEP RECPTS		X		9-17-01		X								
	DAF S&P 500 TRUST		X		2-21-01										
	DAF S&P 500 TRUST		X		9-17-01		X								

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Name MARY BONO | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name MARY BONO

Page 9 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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Name MARY BONO	Page 10 of 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

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2002 MAY 24 PM 3:11

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6

For use by Members, officers, and employees

John Nichols Boozman
(Full Name)

37 Champions Blvd Rogers, AR 72758
(Mailing Address)

479-273-5099
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: AR District: 3rd	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/23/02

SCHEDULE I - EARNED INCOME

Name John Nichols Boozman

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Boozman-Hof Regional Eye Clinic PA Rogers, AR	Salary	$59,887

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Nichols Boozman

Page 3 of 6

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	AG Edwards	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	Arkansas National Bank	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Arvest Bank	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Datek	$1 - $1,000	INTEREST	$1 - $200	
JT	Northwest Mutual Life	$1 - $1,000	INTEREST	$1 - $200	
JT	Firstcity Financial Corp	None	CAPITAL GAINS	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Nichols Boozman

Page 4 of 6

	Genesis Partnership	$500,001 - $1,000,000	Other: (Please specify)	$50,001 - $100,000	
	Northwest Arkansas Optical Partnership	$1,001 - $15,000		NONE	
	Arvest Bank, Trustee for Boozman-Hof Retirement Plan	$250,001 - $500,000	Other: (Please specify)	NONE	

SCHEDULE IV - TRANSACTIONS

Name John Nichols Boozman

Page 5 of 6

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Firstcity Financial Corp	S	7/13/01	$1,001 - $15,000

SCHEDULE VIII - POSITIONS

Name John Nichols Boozman

Page 6 of 6

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Genesis Partnership
Director	Eye Associates Leasing Company, Inc
Employee	Boozman-Hof Regional Eye Clinic, P.A.

FOOTNOTES

Name John Nichols Boozman

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule II	Partnership Income	Genesis Partnership
2	Schedule II	Trustee Directed Retirement Plan	Arvest Bank, Trustee for Boozman-Hof Retirement Pl

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Robert A. Borski
(Full Name)

2409 Rayburn HOB, Washington, DC 20515
(Mailing Address)

(202) 225-8251
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives	State: PA District: 3	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☐ **No** ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐ **No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐ **No** ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☒ **No** ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☐ **No** ☒	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☐ **No** ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☐ **No** ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐ **No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐ **No** ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐ **No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐ **No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-2-02

Name	Rep. Robert A. Borski	Page 2 of 2

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Cooperstown Conference		June 13-	Philadelphia, PA -	Y	Y	Y	N
Foundation		15	West Point, NY-Phila,PA				
Burlington Northern Santa Fe, Am. Assoc. of Railroads		July 5-9	Phila, PA-Casper, Cody Jackson Hole, WY-Phila	Y	Y	Y	N

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(6)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Leonard L. Boswell
(Full Name)

4323 Grand Ave, #433
Des Moines, IA 50312
(Mailing Address)

202 225 3806
Daytime Telephone

MC
(Office Use Only)

Filer Status	☒ Member of the U.S. House of Representatives — State: IA District: 3	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (*Month, Day, Year*)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Leonard L Boswell	5-15-02

Name Leonard L. Boswell | Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Lamoni Community School	Spouse Salary	11,899.35
	Clarke Community School	Spouse Salary	5,692.47
	State of IA	legislative Pension	8,431.72

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Leonard L. Boswell Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Agriculture Land (475 Acres) New Buda & Burrell Townships Decatur Co., IA							X									N/A								N/A							
	Farm Equipment					X											N/A								N/A							
	Verizon					N/A									X										X							
	Breeding Stock (cows)						X													Sale of calves							X					
	Citizens State Bank, Leon IA					N/A										X							X									
	WHITCO OUTDOOR SIGNS														X								X									
	Farmers Coop, Lamoni, IA dividend patronage			X										X									X									

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name Leonard L. Boswell

Page 4 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Sale of calves		X				X								

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SCHEDULE V — LIABILITIES

Name Leonard L. Boswell Page 5 of 6

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Citizens State Bank, Leon, IA	Mortgage on Land, Burrell Township, Decatur Co, IA		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Leonerd L. Boswell | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Blue Dog non Fed PAC		Sept 7-9	Wash D.C - White Sulpher Spring W.VA - Wash D.C	Y	Y	Y	-0-

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6

For use by Members, officers, and employees

Frederick C. Boucher
(Full Name)

2187 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-3861
Daytime Telephone:

MC (Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: VA District: 09	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. **Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Frederick C. Boucher	May 1, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frederick C. Boucher

Page 2 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Bank of America Checking Account	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Nations Securities Savings	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Individual Retirement Account, Nations Securities	$50,001 - $100,000	DIVIDENDS/INTEREST	$2,501 - $5,000	
	First Virginia Bank Preferred Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Community National Bank Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Vangaurd S&P 500 Index Mutual Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Frederick C. Boucher

	United Company Mutual Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	
	Fidelity Select Technology Mutual Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
	Rydex Over the Counter Mutual Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
	Lot-Town of Damascus	$1,001 - $15,000		NONE	
	Lot-Washington County	$1 - $1,000		NONE	

SCHEDULE IV - TRANSACTIONS

Name Frederick C Boucher

Page 4 of 6

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Vangaurd S&P 500 Index Mutual Fund	P	9/15/01	$1,001 - $15,000
	Vanguard S&P 500 Index Mutual Fund	P	01/23/01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Frederick C. Boucher

Page 5 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Please see attatched pages 5A-5B			Y	Y	N	

SCHEDULE V11
TRAVEL PAYMENTS AND REIMBURSEMENTS

SOURCE	LOCATION	EXPENSES	DATE
Virginia Coal Council	Bristol, Virginia	Travel from Washington, DC for keynote address to the annual Virginia Coal Conference.	05/21/01
Media General Corporation	Tampa, Florida	Travel and lodging for one night for conference with Media General Executive Officers on advances in the creation of convergence among web-based, print and broadcast services.	04/08/01-04/09/01
Travelocity.Com	Dallas, Texas	Travel and one night's lodging for speech to forum on the prospects for Internet privacy legislation.	01/10/01-01/11/01
United States Telecom Association	Indian Wells, California	Travel and two night's lodging for speech to conference on legislation to accelerate broadband deployment	02/23/01-02/25/01
Microsoft Corporation	Seattle, Washington	Travel and two night's lodging for speech to Microsoft Executives regarding Digital Rights Management legislation and the distribution of music over the Internet.	04/18/01-04/20/01
The American Film Market Institute	Los Angeles, California	Travel and two night's lodging for speech to Independent film makers on proposed changes in Intellectual property laws.	02/21/01-02/22/01

SCHEDULE V11
TRAVEL PAYMENTS AND REIMBURSEMENTS
(CONTINUED)

Digital Media Association	San Francisco, California	Travel and one night's lodging for speech to forum on prospects for passage of legislation on facilitation of the delivery of music over the Internet.	08/23/01
Singapore International Foundation	Singapore	Travel and four night's lodging for speech to conference and participation in conference on information technology policy challenges in the United States and Singapore.	08/18/01-08/22/01
Ripon Educational Foundation	Edinburgh	Travel and six night's lodging for speech to Trans-Atlantic Dialogue Conference on the electricity restructuring component on energy policy legislation and for participation in conference on information technology policy challenges.	08/11/01-08/16/01
The National Association of Broadcasters	Las Vegas, Nevada	Travel and three night's lodging for speech at annual convention on policy aspects of the digital television transition.	04/21/01-04/23/01

SCHEDULE VIII - POSITIONS

Name Frederick C. Boucher

Page 6 of 6

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member- Board of Directors	First Virginia Bank-Mountain Empire

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ML

(7)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

F. Allen Boyd, Jr.
(Full Name)

Route 2, Box 33 Monticello, FL 32344
(Mailing Address)

202-225-5235
Daytime Telephone.

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: FL District: 2	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	F. Allen Boyd, Jr.	05-15-02

SCHEDULE I - EARNED INCOME

Name F. Allen Boyd, Jr.

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Florida Insurance Consultants	Spouse Commission	N/A
Boyd Sod/Boyd Family Farms	Spouse Mgmt.	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name F. Allen Boyd, Jr.

Page 3 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	ABC Capital Bank	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	
	Capital City Bank	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	
	BCT Gin/Cotton Gin	$500,001 - $1,000,000	DIVIDENDS/RENT/INTEREST	$50,001 - $100,000	
	Boyd-Tuten Cattle Farm	$15,001 - $50,000	CAPITAL GAINS	NONE	
	Wright-Patman FCU	$50,001 - $100,000	INTEREST	$5,001 - $15,000	
	Boyd Family Farms, Inc.	$100,001 - $250,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name F. Allen Boyd, Jr.

Page 4 of 7

	Coastal Plains Farmers Group	$1,001 - $15,000	DIVIDENDS/INTEREST	$201 - $1,000	
	F.A. Boyd & Sons Ins.	$100,001 - $250,000	DIVIDENDS	NONE	
	FABJ Inc.	$15,001 - $50,000	DIVIDENDS	NONE	
	SEP-IRA/Janney Montgomery Scott	$50,001 - $100,000	DIVIDENDS	$1 - $200	

SCHEDULE V - LIABILITIES

Name F. Allen Boyd, Jr.

Page 5 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Farm Credit Service	Farm Loan	$500,001 - $1,000,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name F. Allen Boyd, Jr.

Page 6 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Farm Bureau	Jan. 8	Tallahassee, FL--Orlando, FL--Tallahassee	N	N	N	N/A

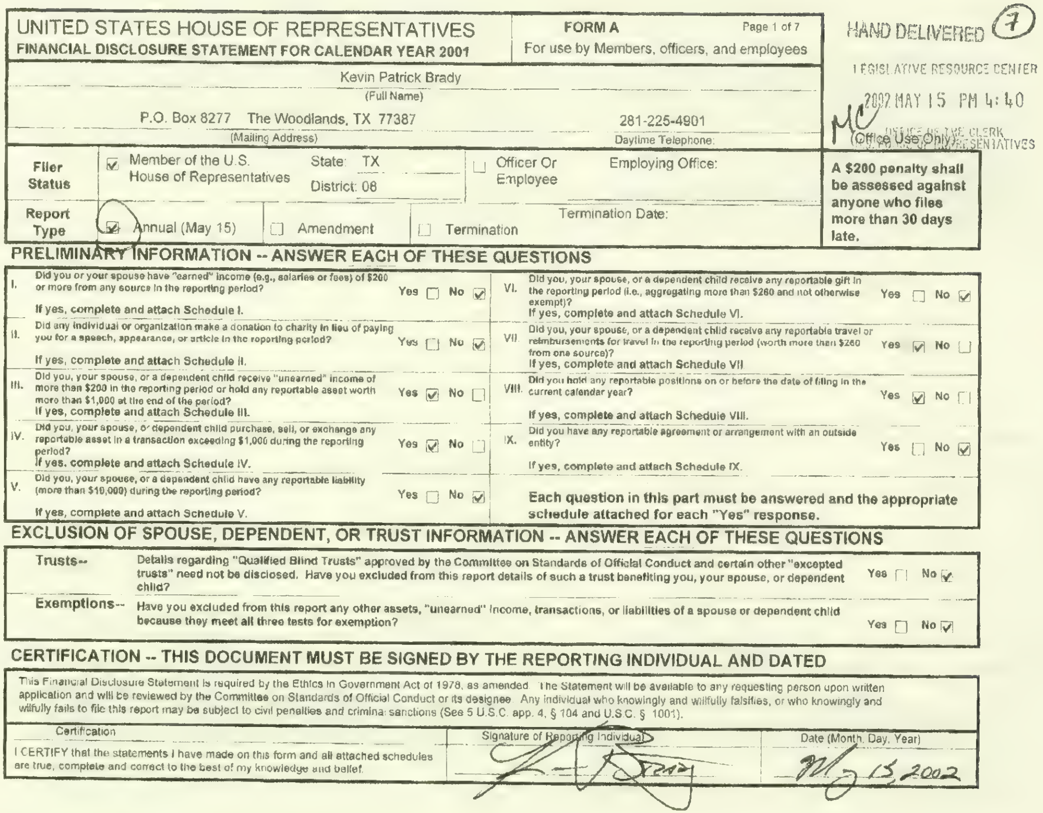
SCHEDULE VIII - POSITIONS

Name F. Allen Boyd, Jr.

Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
President and Majority Stockholder	Boyd Family Farms, Inc.
President	FABJ, Inc.
Board Member	FA Boyd & Sons, Inc.
Board Member	Jefferson County Farm Bureau



UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

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2002 MAY 15 PM 4:40
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U.S. HOUSE OF REPRESENTATIVES

MC
(Office Use Only)

Kevin Patrick Brady
(Full Name)

P.O. Box 8277 The Woodlands, TX 77387
(Mailing Address)

281-225-4901
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 08	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	K Brady	May 15, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kevin Patrick Brady

Page 2 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Annuity Fidelity VIP Growth Fund	$15,001 - $50,000		NONE	
	Annuity NEUB/BER AMT Growth Fund	$15,001 - $50,000		NONE	
JT	Putnam Growth & Income Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	State of Texas Retirement System	$1,001 - $15,000		NONE	
SP	IRA Chase Securities of Texas: Compaq Computer Stock	$15,001 - $50,000		NONE	
SP	Chase Retirement Plan	$15,001 - $50,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kevin Patrick Brady

Page 3 of 7

SP	Chase Savings Retirement Plan 401k	$100,001 - $250,000		NONE	
SP	Chase Manhattan Employee Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Chase Securities Employee Stock Option Plan	$15,001 - $50,000		NONE	
	Pacific Life VUL	$1,001 - $15,000		NONE	
SP	Pacific Life VUL	$1 - $1,000		NONE	
JT	Chase Bank Personal Checking Account	$1,001 - $15,000	INTEREST	$1 - $200	
	IRA Putnam International New Opportunities	$1 - $1,000		NONE	
	Farmers New World Life Insurance	$1,001 - $15,000		NONE	
JT	Lexicon Genetics, Inc. Common Stock	$1,001 - $15,000		NONE	
JT	H & Q IPO & Emerging Growth Fund Class A	$1,001 - $15,000		NONE	
DC	UTMA for William Brady - JANUS Funds	$1 - $1,000		NONE	
SP	Chase Bank Super Savings Account	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Putman MM Fund CI-A	$1 - $1,000		NONE	P
JT	Putman Small Cap Value Fund CI-A	$1 - $1,000		NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kevin Patrick Brady

	Lincoln National Life Insurance	$1 - $1,000	DIVIDENDS	$1 - $200	Other

SCHEDULE IV - TRANSACTIONS

Name Kevin Patrick Brady

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Putman MM Fund Cl-A	P	May	$1,001 - $15,000
JT	Putman Small Cap Value Fund Cl-A	P	May	$1,001 - $15,000
	Lincoln National Life Insurance	Other	January	$1,001 - $15,000
SP	Chryster Sebring	S	4-13-01	$13,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Kevin Patrick Brady

Page 6 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Tort Reform Association: Speaker on Teacher Liability Protection Act	Overnite, Oct. 29-30	Houston to San Diego, return to Washington, D.C.	Y	Y	N	None

SCHEDULE VIII - POSITIONS

Name Kevin Patrick Brady

Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board Member	Montgomery County Pachyderm Club
Advisory Board Member	Women Helping Women
Advisory Board Member	Northwest Assistance Ministries
Advisory Board Member	Childrens Museum of The Woodlands

ROBERT A. BRADY
1ST DISTRICT, PENNSYLVANIA

COMMITTEES:
ARMED SERVICES
SUBCOMMITTEE ON MILITARY PROCUREMENT
SUBCOMMITTEE ON
MILITARY INSTALLATIONS AND FACILITIES

SMALL BUSINESS
SUBCOMMITTEE ON REGULATORY REFORM
AND PAPERWORK REDUCTION

Congress of the United States
House of Representatives
Washington, DC 20515–3801

☐ 216 CANNON BUILDING
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☐ 1510 W. CECIL B. MOORE AVENUE
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PHILADELPHIA, PA 19121
(215) 236-5430

☐ THE COLONY BUILDING
511–13 WELSH STREET
1ST FLOOR
CHESTER, PA 19013
(610) 874-7094

☐ 1907 SOUTH BROAD STREET
PHILADELPHIA, PA 19148
(215) 389–4627
FAX: (215) 389–4635

☐ 500 RITNER STREET
PHILADELPHIA, PA 19148
(215) 551-6357
FAX: (215) 351–5483

www.house.gov/robertbrady

May 23, 2002

NC

The Honorable Jeff Trandahl
Clerk of the U.S. House of Representatives
Legislative Resource Center
B-106 Cannon House Office Building
Washington, DC 20515

Hand Delivered

Dear Mr. Trandahl:

It has come to my attention that my Financial Disclosure Statement for Calendar Year 2001 has not yet been received by your office.

Please be advised that my accountant mailed the form certified mail on May 7, 2002. I have enclosed three copies of that form for your information.

Thank you for your kind consideration of the foregoing.

Sincerely,

Rob A Brady

Robert A. Brady
Member of Congress

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PS Form 3800, January 2001 See Reverse for Instructions

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Robert A. Brady
(Full Name)

1301 Kimberly Drive
(Mailing Address)

Philadelphia, PA 19151-2834

Daytime Telephone: 202 225-4731

Filer Status	☒ Member of the U.S. House of Representatives — State: PA District: 1st	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

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II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
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TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/6/02

Name Robert A. Brady **Page** 2 **of** 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Philadelphia Writ Service	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Robert A. Brady

Page 3 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

Block A and Block B (Value of Asset):

SP, DC, JT		Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000
SP	Examples:	Mega Corp. Stock					X							
		Simon & Schuster		Indefinite										
		1st Bank of Paducah, KY accounts						X						
		Phila. Federal Credit Union				X								
SP		Roxborough Manyunk Savings			X									
		City of Phila (Pension)			X									
		Metropolitan Regional Council					X							
		PA Turnpike Commission			X									
SP		Delaware Investments		X										

Block C (Type of Income), Block D (Amount of Income) and Block E (Transaction):

Asset and/or Income Source	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Mega Corp. Stock	X										X								P
Simon & Schuster							Royalties									X			
1st Bank of Paducah, KY accounts			X										X						
Phila. Federal Credit Union			X							X									
Roxborough Manyunk Savings			X							X									
City of Phila (Pension)							Pension						X						
Metropolitan Regional Council							Accrued Pension	X											
PA Turnpike Commission							Accrued Pension	X											
Delaware Investments	X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Robert A. Brady

Page 4 of 5

	BLOCK A	BLOCK B												BLOCK C						BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income						Amount of Income											Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Redevelop. Authority of Phila					X														Pension Acc	X											
SP	D&B Investment, Inc.		X																	Com. Shares	X											

Name Robert A. Brady	Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Part Time Admin. Assistant	Metropolitan Regional Council

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
2/19/99	Metropolitan Regional Council (MRC)	Member is a part time administrative Assistant. He receives no salary. MRC continues the accrual and vesting of the member's pension. The year 2001 was $7,170.80.

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MAY 7 2002

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Robert A. Brady
(Full Name)

1301 Kimberly Drive
Philadelphia, PA 19151-2834
(Mailing Address)

Daytime Telephone: 202 225-4731

Filer Status	☒ Member of the U.S. House of Representatives State: PA District: 1st	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rob A Brady	5/6/02

Name Robert A. Brady

Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Philadelphia Writ Service	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Robert A. Brady

Page 3 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	A	B	C	D	E	F	G	H	I	J	K	L	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	BLOCK E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000								None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP	Examples: Mega Corp Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Phila. Federal Credit Union				X											X							X									
SP	Roxborough Manyunk Savings			X												X							X									
	City of Phila (Pension)			X																Pension						X						
	Metropolitan Regional Council					X														Accrued Pension	X											
	PA Turnpike Commission			X																Accrued Pension	X											
SP	Delaware Investments		X											X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert A. Brady

Page 4 of 5

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
SP	Redevelop. Authority of Phila					X														Pension Acc	X											
SP	D&B Investment, Inc.		X																	Common Shares	X											

This page may be copied if more space is required.

Name Robert A. Brady	**Page** 5 **of** 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Part Time Admin. Assistant	Metropolitan Regional Council

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
2/19/99	Metropolitan Regional Council (MRC)	Member is a part time administrative Assistant. He receives no
		salary. MRC continues the accrual and vesting of the
		member's pension. The year 2001 was $7,170.80.

GPO: 2002 77-791 (msc)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
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Hon. Corrine Brown
(Full Name)

2444 Rayburn House Office Building
(Mailing Address)

Washington, DC 20515

202-225-0123
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: FL District: 3	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Corrine Brown	May 15, 2002

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Hon. Corrine Brown

Page 2 of 4

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Accounts Receiveable for sale of: Gator Travel Agency Emilio F. Torres, Fernando J. Alvarez, Fernando A. Alvarez (debtors).					X											X				X											
	Wright Patman Congressional Federal Credit Union			X												X							X									

For additional assets and unearned income, use next page.

Name Hon. Corrine Brown

Page 3 of 4

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	First Union National Bank	Loan - Personal		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Hon. Corrine Brown	**Page** 4 **of** 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Association of American Railroads.	Feb. 22-25	WDC-Arizona-WDC	Y	Y	Y	N
	American Airlines/AT&T/ Microsoft	Mar. 15-18	WDC-Monteray, CA-WDC	Y	Y	N	N
	Information Technology Industry Council	Apr. 26-29	WDC-Dallas-WDC	Y	Y	Y	N
	Congressional Black Caucus Policy & Leadership Institute	June 8-11	WDC-Charleston, SC-WDC	Y	Y	Y	N
	American Petroleum Institute	June 28-July 1	WDC-Houston, TX- WDC	Y	Y	Y	N
	Royal Carribean International	Nov. 10-11	WDC-New York-WDC	Y	Y	Y	N
	Unity Journalist of Color	Aug. 22	JAX-Orlando-JAX	Y	Y	N	N
	Conference of Minority Transportation Officials	June 21-23	WDC-Miami-WDC	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

Page 1 of 7

Henry E. Brown, Jr.
(Full Name)

1035 Dominion Drive Hanahan, SC 29406
(Mailing Address)

843-747-4174
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: SC District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Henry E. Brown Jr	5-10-02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry E. Brown, Jr. Page 2 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Piggly Wiggly Carolina Stock	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
	Greenback Enterprises Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	First Fin. Holding Stock	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
JT	Bank of America Stock	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
JT	SCANA Corp. Stock	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
JT	Am. Online Stock	$15,001 - $50,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry E. Brown, Jr.

Page 3 of 7

JT	Lucent Tech. Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
JT	Nucor Stock	None	CAPITAL GAINS	$15,001 - $50,000	S
JT	Compaq Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	S
JT	Georgia Pacific Stock	None	CAPITAL GAINS	$5,001 - $15,000	S
JT	Qualcom Stock	$15,001 - $50,000	DIVIDENDS	NONE	P
JT	Delta Airline Stock	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
JT	Cisco Stock	$15,001 - $50,000	DIVIDENDS	NONE	P
JT	Polymer Group Stock	None	DIVIDENDS	NONE	
JT	Edward Jones MM a/c	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
JT	Cash in Bank, NBSC	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
JT	Cash in Bank, Bank of America	$15,001 - $50,000	INTEREST	$201 - $1,000	
JT	Bank of America MM a/c	$100,001 - $250,000	INTEREST	$2,501 - $5,000	
	Note Receivable-Purvis Corner, LLC	$50,001 - $100,000	INTEREST	$5,001 - $15,000	
	Note Receivable-IJK Properties, LLC	$250,001 - $500,000	INTEREST	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry E. Brown, Jr.

Page 4

	Rental Real Estate-1212 Pine Ct.	$50,001 - $100,000	RENT	$5,001 - $15,000	
	Rental Real Estate-5815 Hume Avenue	$50,001 - $100,000	RENT	$5,001 - $15,000	
	Rental Real Estate-1129 Yeamans Hall Road	$15,001 - $50,000	RENT	$2,501 - $5,000	
	Farm Land-Berkeley County, 1,500 + acres	$1,000,001 - $5,000,000	RENT	$2,501 - $5,000	

SCHEDULE IV - TRANSACTIONS

Name Henry E. Brown, Jr.

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Nucor Stock	S	12-5-01	$50,001 - $100,000
JT	Lucent Tech. Stock	S	12-31-01	$1,001 - $15,000
JT	Compaq Stock	S	12-31-01	$1,001 - $15,000
JT	Georgia Pacific Stock	S	12-5-01	$15,001 - $50,000
JT	Qualcom Stock	P	9-24-01	$15,001 - $50,000
JT	Delta Airline Stock	P	9-24-01	$15,001 - $50,000
JT	Cisco Stock	P	9-24-01	$1,001 - $15,000
JT	Lucent Tech Stock	P	9-24-01	$1,001 - $15,000
JT	Am. Online Stock	P	9-24-01	$15,001 - $50,000
	Rental Real Estate-81 Marigold Street	E	11-2-01	$100,001 - $250,000
	Rental Real Estate-5903 Griffin Street	S	9-28-01	$100,001 - $250,000
	Rental Real Estate-1151 Berkeley Street	S	9-28-01	$100,001 - $250,000

SCHEDULE IV - TRANSACTIONS

Name Henry E. Brown, Jr.

Page 6 of 7

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SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Rental Real Estate-5865 Allison Street	S	9-28-01	$15,001 - $50,000
	Rental Real Estate-1432 Watershade Ct. (31% interest)	E	11-2-01	$50,001 - $100,000
	Real Estate-Lot A, Berkeley County	E	11-2-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Henry E. Brown, Jr. Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
US-China Frindship Program	June 29-July 9, 2001	Wash., D.C.-China-Wash, D.C.	Y	Y	Y	2 Days

HENRY E. BROWN, JR.
1ST DISTRICT, SOUTH CAROLINA

1017 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225-3176
FAX: (202) 225-3407

5900 CORE AVENUE, SUITE 401
NORTH CHARLESTON, SC 29406
(843) 747-4175
FAX: (843) 747-4711

206 LAUREL STREET
CONWAY, SC 29526
(843) 248-2660
FAX: (843) 248-2924

Congress of the United States
House of Representatives
Washington, DC 20515-4001

COMMITTEES:
TRANSPORTATION
BUDGET
VETERANS' AFFAIRS

Memo

① MC ✓

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U.S. HOUSE OF REPRESENTATIVES

To: Office of the Clerk
From: Congressman Henry E. Brown, Jr
Date: June 6, 2002
Subject: Amendment to May 15, 2002 financial disclosure

Please add the following information under Title III and IV of my financial disclosure submitted May 15, 2001.

Under Title III–add:

--1432 Watershed Court $50,000-$100,000

--Lot A Farmland in Berkeley County $2500-$5000

Note: **Lot A is already included in the 1500 acre farmland in Berkeley County listed in schedule III .**

Schedule IV–add:

9/28/01	IJK Properties, LLC	$250,000-$500,000

Sincerely,

Henry E Brown Jr

Henry E. Brown, Jr.
Member

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2002 JUN -4 AM 10: 55
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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

Henry E. Brown, Jr.
(Full Name)

1035 Dominion Drive Hanahan, SC 29406
(Mailing Address)

843-747-4174
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: SC District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

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V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	✓ Henry E Brown Jr	✓ 5/10/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry E. Brown, Jr.

Page 2 of 7

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry E. Brown, Jr.

Page 3 of 7

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SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Henry E. Brown, Jr.

Page 4 of 7

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SCHEDULE IV - TRANSACTIONS

Name Henry E. Brown, Jr.

Page 5 of 7

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SCHEDULE IV - TRANSACTIONS

Name Henry E. Brown, Jr.

Page 6 of 7

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SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Henry E. Brown, Jr.

Page 7 of 7

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Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
US-China Frindship Program	June 29-July 9, 2001	Wash., D.C.-China-Wash, D.C.	Y	Y	Y	2 Days

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(5)

MC

Sherrod Brown
(Full Name)

2625 E. Erie
Lorain OH 44052
(Mailing Address)

202-225-3401
Daytime Telephone

Filer Status	☒ Member of the U.S. House of Representatives State: OH District: 13	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☒	**No** ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐	**No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐	**No** ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☒	**No** ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒	**No** ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☐	**No** ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☐	**No** ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐	**No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐	**No** ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐	**No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐	**No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (*Month, Day, Year*)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Sherrod Brown	5/8/02

Name Sherrod Brown	Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of OH Deferred Comp Program	deferred income	12,562.30
	Kent State University	book royalties	882.90

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Sherrod Brown

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Fidelity Magellan (IRA)			X										X										N/A								
	Muhlenkamp				X									X							X											
	Bramwell Growth NY				X									X										X								
	Am Century Growth MO				X									X							X											
	Ariel Inv Trust MO			X										X									X									
	Cong Credit Union DC				X											X									X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Sherrod Brown

Page ___ of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Navellier MD			X										X								X										
	Calvert Social Inv OH			X										X									X									
	Oak Technology MO			X										X							X											
	Oak Growth			X										X							X											
	Oak agressive			X										X							X											
	OH PERS			X												X									N/A							
	Lorain Natl Bank OH			X												X						X										
	Nationwide (ret)				X									X											N/A							
	BrownLea Farm OH				X										X						X											
	AOL			X										X							X											

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Name Sherrod Brown

Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Commonwealth Fund / Harvard U	Jan 11-14	Cle - Ft. Lauderdale - Cle	Y	Y	N	N
	Swarthmore College	Feb 12-13	DC - Phila - DC	Y	N	N	N
	Faith & Politics Institute	Jun 19	DC - NY - DC	N	Y	N	N
	Aspen Institute	Aug 16-26	Cle - St Petersburg - Helsinki - Cle	Y	Y	N	Y

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

④ LEGISLATIVE RESOURCE CENTER

2002 MAY 15 AM 9:26

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Edward G. BRYANT
(Full Name)

P.O. Box 430
Henderson, TN 38340
(Mailing Address)

202-225-2811
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives State: TN District: 7	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Edward G. Bryant	May 15, 2002

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Edward G. Bryant

Page 2 of 4

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster	Indefinite																		Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	Money Market Account Bancorp South Bank			X												X						X										
DC	U.S. Savings Bond		X													X						X										
	IRA - Various stocks																															
	Akami			X																	X											
	Level 3			X																	X											
	Lucent Tech.		X																		X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name Edward G. Bryant

Page 3 of 4

	BLOCK A	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Avaya		X																		X											
	Genuity		X																		X											
	Internet Pictures		X																		X											
SP	Stock in IRA:																															
	Lucent Tech.		X																		X											
DC	Stocks																															
	Lucent Tech		X																		X											
	Xerox		X																		X											
	Qwest		X																		X											
	Ericsson		X																		X											

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Name Edward G. Bryant

Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Bipartisan Congressional Health Policy Conference - JFK School of Government		Jan 12-14	Memphis - Miami - Memphis	Y	Y	Y - wife	N

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 8

For use by Members, officers, and employees

Richard Mauze Burr
(Full Name)

2634 Forest Drive Winston-Salem, NC 27104
(Mailing Address)

202-225-2071
Daytime Telephone.

Filer Status ☑ Member of the U.S. House of Representatives State: NC District: 05 ☐ Officer Or Employee Employing Office:

Report Type [✓ ☑ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-8-02

SCHEDULE I - EARNED INCOME

Name Richard Mauze Burr

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Graham and Boles Realty	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Richard Mauze Burr

Page 3 of 8

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Sara Lee Corp Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	BB and T stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Golman Sachs Equity	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Cisco Systems Stock	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Edward D. Jones Cash	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	Graham and Boles Realty	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Richard Mauze Burr

SP	Piedmont Triad Mortgage	$1 - $1,000	DIVIDENDS	$1 - $200	
DC	Edward D. Jones Cash	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	BB and T Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
DC	Small Cap Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Lord Abbott Dev. Growth Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Edward Jomes	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Piedmont Federal Savings	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
SP	Central Carolina Bank	$1 - $1,000	INTEREST	$1 - $200	
	BB and T Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Cisco	$50,001 - $100,000	DIVIDENDS	NONE	P
	Corning	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	Sun Microsystems	$15,001 - $50,000	DIVIDENDS	NONE	P
SP	Wachovia	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
	Bank of America Corp	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Richard Mauze Burr

Page 5 of 8

	Wachovia	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	S
	Tenn Valley Authority Bank	$1,001 - $15,000	INTEREST	$201 - $1,000	Other
	625 Polo Road, Winston-Salem, North Carolina	$50,001 - $100,000	RENT	$1,001 - $2,500	S

SCHEDULE IV - TRANSACTIONS

Name Richard Mauze Burr

Page 6 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Wachovia	S	6-21-01	$1,001 - $15,000
	Bank of America Corp	S	6-20-01	$15,001 - $50,000
	Wachovia	S	6-21-01	$50,001 - $100,000
	Sun Microsystems	P	8-30-01	$15,001 - $50,000
	Corning, Inc.	P	8-30-01	$15,001 - $50,000
SP	Cisco Systems	P	9-20-01	$1,001 - $15,000
	Cisco Systems	P	9-17-01	$15,001 - $50,000
	Cisco Systems	P	12-26-01	$15,001 - $50,000
SP	Cisco Systems	P	12-26-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Richard Mauze Burr

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Nuclear Energy Institute	June 29-July 6, 2001	Charlotte, NC--Paris, France--Charlotte, NC	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Richard Mauze Burr

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Co-Chairman	Partnership for a Drug Free NC
Board Member	Brenner's Children's Hospital

HAND DELIVERED

RICHARD BURR
5th District, North Carolina

E-MAIL: Richard.BurrNC05@mail.house.gov
WEB: http://www.house.gov/burr

COMMITTEE ON ENERGY AND COMMERCE
Vice Chairman

COMMITTEE ON
INTERNATIONAL RELATIONS

SELECT COMMITTEE ON
INTELLIGENCE

Congreſs of the United States
House of Representatives
Washington, DC 20515–3305

②

May 15, 2002

The Honorable Jeff Trandahl
Office of the Clerk
H 154 Capitol
Washington, D.C. 20515

✓
MC

Dear Jeff:

Please allow this letter and its attachment to serve as an amendment to my Personal Financial Disclosure statement for the calendar year 2001. In the copy filed on May 8, 2002, I inadvertently omitted a payment to charity in lieu of honoraria made by the American Society of Anesthesiologists (ASA) in June of 2001. The payment was made in conjunction with a speech I gave on May 2, 2001 at an ASA policy briefing.

Thank you for your attention to this amendment to my 2001 Personal Financial Disclosure statement. If you have any questions, feel free to contact my Chief of Staff, John Versaggi at (202) 225-2071.

Sincerely,

Richard Burr
Member of Congress

RB:jdv

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Winston-Salem, NC 27104
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Graham, NC 27253
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SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Richard Mauze Burr

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
American Society of Anesthesiologists	Speech	May 2, 2001	$1,500

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

INSIDE MAIL
⑨ LEGISLATIVE RESOURCE CENTER
2002 JUN 12 PM 5:58
MC
(Office Use Only)

Danny Lee Burton
(Full Name)

2185 Rayburn HOB
Washington, DC 20515
(Mailing Address)

202/225-2276
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives State: IN District: 6th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dan Lee Burton	6/12/02

Name Danny Lee Burton

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Burton Agency - Spouse	Commissions	NA

[redacted]

[redacted]

For payments to charity in lieu of honoraria, use Schedule II.

Name Danny Lee Burton | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1999	$2,000
	XYZ Magazine	Article	Aug. 13, 1999	$500
	National Nutritional Foods Assn.	Speech Louisville, KY	April 21st 2001	$1000

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Danny Lee Burton

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT			A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples:	Mega Corp. Stock					X								X										X								P
DC		Simon & Schuster		Indefinite																	Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
	Agnico-Eagle Mines LTD				X										X								X										
	Barrick Gold Corp			X											X								X										
	Canyon Res Corp New			X											none							X											
	Conseco Inc.				X										none							X											
	Corixa Corp			X											none							X											
	Full House Resorts Inc.				X										None							X											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Danny Lee Burton

Page 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transactio
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Microsoft Corp.			X										none							X											
	Newmont Mining Corp.			X										X								X										
	Nuveen Municipal Mkt.			X										X									X									
	One Tel LTD			X										none							X											
	General Money mkt.		X													X						X										
	Alliance Tech Fund			X													X					X										
	Baird Ins Dep MMF renamed → Insured Dep Firstar		X													X						X										
	Russell Frank Invt Co Lifepoint Bal. Strategy Fd.C					X								X			X							X								
SP	Baird Ins. Dep MMF renamed → Insured Dep Firstar		X													X						X										
SP	Russell Frank Invt Co Lifepoint Bal. Strategy Fd.C					X								X			X							X								
	E Campus	X												none							X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name Danny Lee Burton

Page 6 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Burton Agency				X															See Schedule I												
	Harting Farm								X						X									X								
	Laurel Co KY (20 acres)				X															none	X											
	Residential Rental																															
	1037 mustang Ct					X									X											X						
	Franklin, IN																															
	Residential Rentals																															
	2176-2181 Galaxy DR							X							X												X					
	Franklin, IN																															
	Country View Estates (Han. Co.)				X															none	X											
	1 acre																															
	Burton Ranch						X													none	X											
	Johnson Co. (5 acres)					X														none	X											S
	Johnson Co. (16.84 acres)							X												none	X											
	Flat Creek KY (46.60 acres)				X															none	X											
	Johnson Co (23.7 acres)							X							X									X								

This page may be copied if more space is required.

Name Danny Lee Burton

Page 7 of 9

SCHEDULE IV — TRANSACTIONS

		Type of Transaction			Date	Amount of Transaction									
Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Full House Resorts Inc.	X			01-16-01	X									
	Johnson Co (5 acres)		X		06-10-01			X							

This page may be copied if more space is required.

Name	Danny Lee Burton	Page 8 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

			Amount of Liability									
SP, DC, JT	Creditor	Type of Liability	B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Citizens Bank of IN	2176-2181 Galaxy DR Franklin, IN					X					
	"	1037 Mustang Ct Franklin, IN			X							
	Maurice and Helen Linville	23.7 acres / Johnson Co				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Name Danny Lee Burton | Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Consultant (uncompensated)	Burtan Agency
Hon. Chairman	National Defense Council Foundation

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

HAND DELIVERED ⑦

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

Stephen Earle Buyer
(Full Name)

2443 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202/225-5037
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: IN District: 05	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Steve Buyer	May 15, 02

SCHEDULE I - EARNED INCOME

Name Stephen Earle Buyer

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Schilli Transportation	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Stephen Earle Buyer

Page 3 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Money Market Account, Charles Schwab, Indianapolis, Indiana	$100,001 - $250,000	Interest	$15,001 - $50,000	N/A
JT	Savings Account, Wells Fargo, Monticello, Indina	$1,001 - $15,000	Interest	$1 - $200	N/A
	IRA, Charles Schwab, Indianapolis, Indiana	$1,001 - $15,000	Interest	$201 - $1,000	N/A
SP	IRA, Charles Schwab, Indianpolis, Indiana	$100,001 - $250,000	Interest	$5,001 - $15,000	N/A
	Savings Account, Wright Patman Cong. FCU, Washington, DC	$1,001 - $15,000	Interest	$1 - $200	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Stephen Earle Buyer

Page 4 of 7

	Checking Account, Wright Patman Cong. FCU, Washington, DC	$1,001 - $15,000	NA	NONE	N/A
JT	Checking Account, Wells Fargo, Monticello, Indiana	$1,001 - $15,000	Interest	$201 - $1,000	N/A
JT	Dell Computer, Common Stock	$100,001 - $250,000	NA	NONE	Carry over from 2000 and 2001
JT	Dell Computer, Common Stock	$50,001 - $100,000	CAPITAL GAINS	$5,001 - $15,000	S
JT	Law Office, 103 W. Broadway, Monticello, Indiana	$50,001 - $100,000	RENT	$5,001 - $15,000	N/A

SCHEDULE IV - TRANSACTIONS

Name Stephen Earle Buyer

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Dell Computer, Common Stock	S	12-06-01	$50,001 - $100,000

SCHEDULE V - LIABILITIES

Name Stephen Earle Buyer

Page 6 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Wells Fargo Mortgage, Monticello, Indiana	Mortgage on Law Office, 103 W. Broadway, Monticello, Indiana	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Stephen Earle Buyer

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Chicago Mercantile Exchange	March 15-18	Washington, D.C.-West Palm Beach, FL-Ft. Lauderdale-Washington, D.C.	Y	Y	N	None
Veterans of Foreign Wars	August 21-22	Indianapolis, IN-Milwaukee, WI-Indianapolis, IN	Y	N	N	None

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

INSIDE MAIL
LEGISLATIVE RESOURCE CENTER
2002 MAY 16 AM 11: 24
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(8) HC

HERBERT LEON CALLAHAN
(Full Name)

3251 RIVERE DU CHIEN DRIVE MOBILE, AL 36693
(Mailing Address)

(251) 690-2811
(Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: AL District: 01	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☒ **No** ☐		VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐ **No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐ **No** ☒		VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☒ **No** ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒ **No** ☐		VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☒ **No** ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☒ **No** ☐		IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐ **No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☒ **No** ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐ **No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐ **No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	S Callahan	MAY 7, 2002

Name HERBERT LEON CALLAHAN | Page 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	HOUSE OF REPRESENTATIVES	SALARY	$142,855
	FURNITURE LEASING CORPORATION	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name HERBERT LEON CALLAHAN

Page 3 of 8

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	AMSOUTH BANK						X									X								X								
	FEDERAL CREDIT UNION				X											X						X										
	REGIONS BANK					X										X									X							
	THE FINCH COMPANIES						X									X										X						
	AXA FINANCIAL, INC.		X											X								X										S
	MSDW LIQUID ASSET FUND		X											X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name HERBERT LEON CALLAHAN

Page 4 of 8

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	FROM SUB "S" CORPORATION PASS THROUGH ITEMS:																															
	FURNITURE LEASING CORP									X				X															X			
	PARTNERSHIP PASS THROUGH ITEMS:																															
	H B DEVELOPMENT				X															RENT			X									
	H B DEVELOPMENT															X							X									
	H B DEVELOPMENT																X									X						
	DOUBLE M JOINT VENTURE				X											X						X										
	CHECKERS DRIVE-IN REST., INC. (COMMON STOCK)			X										X							X											
	ATMEL			X										X							X											
	BELLSOUTH			X										X								X										

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name HERBERT LEON CALLAHAN

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	AXA		X		1-02-01	X									

This page may be copied if more space is required.

Name HERBERT LEON CALLAHAN | Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	SOUTHTRUST BANK	PERSONAL	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name HERBERT LEON CALLAHAN

Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ASSOCIATION OF AMERICAN RAIL ROADS	FEB.18–25	MOBILE, AL-SCOTTSDALE, AZ-MOBILE, AL	Y	Y	Y	Y FEB.18–21
	ALABAMA POWER	JUNE 8	MOBILE, AL - BIRMINGHAM,AL	N	Y	Y	NONE
	ASSOCIATION OF AMERICAN RAIL ROADS	JULY 4–9	MOBILE, AL -JACKSON, WY	Y	Y	Y	Y JULY 4&5

This page may be copied if more space is required.

Name HERBERT LEON CALLAHAN Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PARTNER	DOUBLE M JOINT VENTURE
PARTNER	H B DEVELOPMENT
CHAIRMAN	FURNITURE LEASING CORPORATION

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

HAND DELIVERED

PAGE 1 OF 11

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:06
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(11)

MC

Kenneth Stanton Calvert
(Full Name)

2201 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202/225-1986
Daytime Telephone:

Filer Status ☑ Member of the U.S. House of Representatives State: CA District: 43 ☐ Officer Or Employee Employing Office

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Report Type [✓ ☑ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☐ No ☑

If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑

If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐

If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐

If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐

If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑

If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐

If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑

If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑

If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification

I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual
Kenneth S. Calvert

Date (Month, Day, Year)
5-15-02

SCHEDULE I - EARNED INCOME

Name KENNETH STANTON CALVERT PAGE 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount

- NONE -

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name KENNETH STANTON CALVERT Page 3 of 4

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
	- NONE -		

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kenneth Stanton Calvert

PAGE 4 of 11

BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
Asset and/or Income Source	**Year-End Value of Asset**	**Type of Income**	**Amount of Income**	**Transaction**
Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Commercial Rental 63 West Grand Blvd., Corona, CA	$250,001 - $500,000	RENT	$15,001 - $50,000	
Vacant Land Greenway Farms, TX	$250,001 - $500,000	N/A	NONE	
Note Receivable Calvert Real Properties	$100,001 - $250,000	INTEREST	$15,001 - $50,000	
Stock Calvert Real Properties, Inc.	$250,001 - $500,000	N/A	NONE	
Land, Temescal Creek, L.P.	$100,001 - $250,000	RENT	$201 - $1,000	S/E
Commercial Rental Main Street Partners/Washburn 37.5%)	$100,001 - $250,000	RENT	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Kenneth Stanton Calvert

PAGE 5 of 11

Citizen Business Bank, Corona, CA Exchange Accomodator Blaine/Grand LLC	$100,001 - $250,000	INTEREST	$2,501 - $5,000	S
Citizen Business Bank, Corona, CA Personal Checking	$1,001 - $15,000	INTEREST	$1 - $200	
Citizen Business Bank, Corona, CA Personal Savings	$100,001 - $250,000	INTEREST	$2,501 - $5,000	
*Magnolia Apartments W.Harpole/K.Calvert 11376 Magnolia Avenue, Riverside, CA (50%)	$100,001 - $250,000	RENT	$15,001 - $50,000	PE
*W. Harpole/K. Calvert 624 E. Grand Blvd. Corona, CA (50%)	$100,001 - $250,000	RENT	$15,001 - $50,000	PE

*Using Calvert's portion of Blaine/Grand LLC account acquired 50% of 11376 Magnolia Avenue, Riverside, CA and 624 E. Grand Blvd., Corona, CA of above reference properties. Balance of Exchange Accomodator shall be exchanged in 2002.

SCHEDULE IV - TRANSACTIONS

Name Kenneth Stanton Calvert

PAGE 6 of 11

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	*Land, Temescal Creek, L.P. *Sold above referenced property in 2001;will exchange new property in 2002.	SE	05-03-01	$100,001 - $250,000
	**Magnolia Apartments W. Harpole/K. Calvert 11376 Magnolia Avenue, Riverside, CA	PE	12-05-01	$100,001 - $250,000
	**Blaine Street/Grand Blvd. LLC Harpole/Calvert 624 E. Grand Corona, CA **Above referenced properties were purchased using downpayment exchange account of Blaine Street/Grand Blvd. LLC	PE	06-19-01	$100,001 - $250,000

SCHEDULE V - LIABILITIES

Name Kenneth Stanton Calvert

PAGE 7 of 11

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	**Creditor**	**Type of Liability**	**Amount of Liability**
	Citizen Business Bank, Corona, CA	Mortgage on 63 W. Grand, Corona, CA	$100,001 - $250,000
	Magnolia Apartments, 11376 Magnolia Avenue, Riverside, CA	Mortgage on Washington Mutual, Corona, CA	$100,001 - $250,000
	Citizen Business Bank, Corona, CA	Mortgage on Blaine Street/Grand Blvd. Corona, CA	$100,001 - $250,000

SCHEDULE VI - GIFTS

Name KENNETH STANTON CALVERT PAGE 8 of 11

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. **Exclude:** Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. **Note:** The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
	- NONE -	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Kenneth Stanton Calvert

PAGE 9 of 11

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute (Bi-Partisan Retreat)	Mar. 9-11	Wash., D.C. - Greenbriar, WV - Wash., D.C.	Y	Y	N	N/A
Assoc. Of Calif. Water Agencies	Mar. 15-19	Wash., D.C. - SFO-San Jose-SAC-SFO-Wash., D.C.	Y	Y	N	N/A
*Nat'l. Thoroughbred Racing Assoc.	Oct. 26-28	Wash., D.C. - NYC-Wash., D.C.	Y	Y	N	N/A

* Received and Reimbursed to Nat'l. Thoroughbred Racing Assoc.

SCHEDULE VIII - POSITIONS

Name KENNETH STANTON CALVERT PAGE 10 of 11

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
- NONE -	

SCHEDULE IX - AGREEMENTS

Name KENNETH STANTON CALVERT PAGE 11 of 11

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	- NONE	

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
(27) 2002 MAY 21 AM 8:51
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

David Lee Camp
(Full Name)

5901 Woodview Pass
Midland, MI 48642
(Mailing Address)

(202) 225-3561
Daytime Telephone:

Filer Status ☒ Member of the U.S. House of Representatives State: MI District: 4 ☐ Officer or Employee Employing Office:

Report Type [✓ ☒ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☒ No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dave Camp	5/20/02

Name David Lee Camp	**Page** 1 **of** 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Koono State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	None		

For payments to charity in lieu of honoraria, use Schedule II.

Name David Lee Camp | Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name David Lee Camp

Page 1 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the Instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

			BLOCK B											BLOCK C							BLOCK D											BLOCK E
SP, DC, JT	BLOCK A		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples:	SP Mega Corp. Stock					X								X										X								P
DC,	Examples:	Simon & Schuster		Indefinite																	Royalties									X			
JT	Examples:	1st Bank of Paducah, KY accounts						X									X										X						
	Chemical Bank & Trust-Ckng				X												X							X									
	Chemical Financial Corp-Stock						X								X										X								
	American Home Products-Stock						X								X										X								S
	Cisco Systems-Stock						X								X							X											
	Comerica, Inc.-Stock							X							X											X							S
	Dow Chemical Co.-Stock									X					X													X					P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Lee Camp

Page 2 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	HJ Heinz-Stock				X									X										X								
	Home Depot-Stock						X							X									X									P
	VanKampen Municipal Trust				X									X		X							X									
	AG Edwards-Centennial MMF					X								X											X							
	AG Edwards-IRA																															
	Centennial MMF			X										X								X										
	Bound Fund of America				X									X											X							
	Bank of America-stock			X										X									X									
	Chemical Financial Corp-stock				X									X									X									
	HJ Heinz-Stock			X										X									X									
	Seligman CMMNCTNS-Fund				X									X							X											
	Seligman Growth-Fund				X									X							X											
	Seligman Henderson-Fund (global)				X									X							X											
	Abbott Laboratories-Stock					X								X										X								
	Agilent Technologies-Stock			X										X							X											
	American Waterworks-Stock	X												X									X									S
	Automatic Data Process-Stock					X								X									X									P
	Bank of America-Stock				X									X									X									
	Compuware-Stock				X									X							X											
	Walt Disney-Stock				X									X									X									
	General Electric-Stock					X								X										X								
	Gillette-Stock					X								X										X								P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Lee Camp

Page 3 **of** 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Avaya, Inc.-Stock	X												X							X											S
	Express Scripts-Stock				X									X							X											
	Hewlett Packard-Stock				X									X									X									
	Intel-Stock						X							X									X									P
	Pfizer-Stock						X							X										X								P
	Sprint Corp. (FON) Stock				X									X									X									
	Sprint Corp (PCS)-Stock				X									X							X											
	Verizon-Stock				X									X										X								
	Elan Corp.PLC ADR-Stock				X									X							X											
	Lucent Technologies-Stock	X												X								X										S
	Sara Lee-Stock				X									X									X									
	Colgate Palmolive-Stock			X										X								X										
	Medtronic-Stock				X									X								X										P
	Schering Plough-Stock			X										X								X										
	Dell Computer-Stock			X										X							X											
	Psinet-Stock	X												X																		
	Wells Fargo-Stock				X									X									X									P
	Centennial Tax Exempt Trust			X										X								X										
	Keil Trust U/A 03-05-98 FBO N.L. Camp, Grantor													X		X		X									X					
	Robert Keil "Excepted Trust"																															
	Dow Chemical Co 401(k)						X							X											X							

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Lee Camp

Page 6 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Mich.State Empl.Def.Comp.				X									X							X											
	Alcoa Inc., Stock			X										X							X											P
	Caterpillar, Inc, Stock			X										X									X									P
	Emerson Electric, Stock				X									X									X									P
	General Dynamics, Stock			X										X								X										P
	General Electric, Stock				X									X									X									P
	Honeywell Int'l, Stock				X									X								X										P
	Minn,Mng & Mfg, Stock			X										X								X										P
	Applied Materials,Inc,Stock			X										X							X											P
	IBM, Stock				X									X								X										P
	Microsoft, Stock				X									X							X											P
	Texas Instruments, Stock				X									X								X										P
	Ford Motor Co., Stock			X										X								X										P
	Masco Corp. Stock				X									X									X									P
	CocaCola, Co., Stock			X										X								X										P
	Kellogg Co., Stock				X									X								X										P
	Pepsico, Inc., Stock			X										X								X										P
	Astra Zeneca, PLC, Stock			X										X							X											P
	Eli Lilly & CO., Stock			X										X							X											P
	Guidant Corp., Stock			X										X							X											P
	Johnson & Johnson, Stock				X									X								X										P
	Costco Wholesale Corp, Stock			X										X							X											P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Lee Camp

Page 5 of 6

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Target Corp., Stock			X										X								X										P
	Anadarko Petroleum, Stock			X										X								X										P
	Conoco, Inc., Stock				X									X								X										P
	Exxon Mobil Corp.,Stock				X									X									X									P
	Schlumberger Ltd., Stock			X										X							X											P
	American Int'l Grp., Stock			X										X								X										P
	Citigroup, Inc., Stock				X									X								X										P
	State Street Corp., Stock				X									X								X										P
	Fedex Corp., Stock				X									X							X											P
	AOL Tim Warner,Stock			X										X							X											P
	Omnicom Grp., Stock			X										X							X											P
	Advent Software, Stock			X										X							X											P
	Ballard Power System, Stock			X										X							X											P
	Walled Lake MI, Bond				X											X								X								P
	Michigan St. G.O., Bond				X											X								X								P
	Utica MI G.O., Bond				X											X							X									P
	Michigan St Univ, Rev A-1 Bond				X											X							X									P
	Birmingham MI G.O. Bond					X										X								X								P
	Mich.St. Trunk Line A, Bond				X											X							X									P
	Mich.St. Univ.Rev.A, Bond					X										X								X								P
	Clarkston MI GO, Bond					X										X								X								P
	MIch.Muni Bd.Auth, Bond			X												X						X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name David Lee Camp

Page 6 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	U.S. Treasury Bill, Bond				X											X					X											P
	SSGA Tax-Free MMF, Bond				X											X										X						P
	StateStreet - IMMA Bond			X												X						x										P

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SCHEDULE IV — TRANSACTIONS

Name David Lee Camp **Page** 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Lucent Technologies		X		10-19-01	X									
	American Water Works Co., Inc.		X		10-19-01			X							
	American Home Products Corp.		X		12-14-01	X									
	Comerica, Inc.		X		12-14-01	X									
	See attached 10 page schedule of purchases through brokerage account	X			Various										
	See attached 4 page schedule of sales through brokerage account		X		Various										

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DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

BROKERAGE ACCOUNT
FROM 01-01-01 THROUGH 12-31-01

Security	Trade Date	Amount
PURCHASES		
3M Co	08/27/01	2,772
3M Co	08/30/01	2,624
3M Co	09/05/01	1,572
3M Co	09/10/01	1,033
3M Co	09/21/01	4,363
ANN ARBOR MI Ser A 6.250% Due 09-01-01	02/02/01	25,400
AOL Time Warner	01/18/01	9,868
AOL Time Warner	02/16/01	1,214
AOL Time Warner	03/09/01	2,142
AOL Time Warner	03/12/01	2,039
AOL Time Warner	03/13/01	1,983
AOL Time Warner	03/14/01	1,002
AOL Time Warner	03/16/01	993
AOL Time Warner	10/25/01	810
AOL Time Warner	11/06/01	850
Advent Software	01/18/01	5,044
Advent Software	02/12/01	1,478
Advent Software	03/05/01	2,022
Advent Software	03/09/01	988
Advent Software	03/12/01	1,981
Advent Software	03/13/01	1,825
Advent Software	03/13/01	1,825
Advent Software	10/01/01	915
Advent Software	11/05/01	775
Alcoa Inc	11/19/01	7,657
Amer Int'l Group	11/21/01	6,017
Amer Int'l Group	12/04/01	2,039
American Express Co	01/18/01	9,873
American Express Co	01/25/01	2,343
American Express Co	03/19/01	976
American Express Co	03/23/01	913
American Express Co	06/11/01	1,036
American Express Co	06/19/01	586
Anadarko Petroleum	03/29/01	4,237
Anadarko Petroleum	10/11/01	5,513
Anadarko Petroleum	11/06/01	1,379
Anadarko Petroleum	12/04/01	1,328
Applied Materials Inc	01/18/01	9,725
Applied Materials Inc	02/12/01	1,092
Applied Materials Inc	02/14/01	3,295
Applied Materials Inc	04/04/01	952
Applied Materials Inc	05/14/01	1,273

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Applied Materials Inc	06/20/01	1,200
Applied Materials Inc	08/22/01	1,095
AstraZeneca Plc	08/22/01	4,901
AstraZeneca Plc	08/23/01	2,397
AstraZeneca Plc	08/30/01	3,620
AstraZeneca Plc	10/31/01	1,123
AstraZeneca Plc	12/07/01	2,283
Automatic Data Proc	01/18/01	10,717
Automatic Data Proc	02/02/01	1,449
Automatic Data Proc	02/05/01	1,454
Automatic Data Proc	04/26/01	5,340
Automatic Data Proc	06/01/01	1,375
Automatic Data Proc	06/14/01	2,639
Automatic Data Proc	06/20/01	1,336
Automatic Data Proc	06/25/01	1,310
Automatic Data Proc	07/27/01	1,276
Automatic Data Proc	08/02/01	1,245
Automatic Data Proc	08/03/01	1,184
BIRMINGHAM MI GO Cty Sch Dis 4.250% Due 11-01-04	01/24/01	50,926
Ballard Power Systems	01/18/01	3,643
Ballard Power Systems	02/16/01	1,305
Ballard Power Systems	02/26/01	1,230
Ballard Power Systems	03/06/01	1,384
Ballard Power Systems	03/09/01	1,009
Ballard Power Systems	03/12/01	1,856
Ballard Power Systems	06/19/01	645
Ballard Power Systems	06/20/01	1,045
Ballard Power Systems	08/03/01	414
Ballard Power Systems	08/16/01	690
Ballard Power Systems	09/21/01	1,371
Boeing Co	03/28/01	4,097
Boeing Co	04/10/01	2,985
Boeing Co	04/19/01	7,543
Boeing Co	06/11/01	1,599
Boeing Co	06/29/01	1,431
Boeing Co	08/16/01	1,354
Boeing Co	09/21/01	1,447
CLARKSTON MI GO ULT Cmnty Schs (PreRfd 5/1/05) 5.750% Due 05-01-16	02/02/01	54,200
Caterpillar Inc	01/18/01	6,167
Caterpillar Inc	03/09/01	1,159
Caterpillar Inc	03/15/01	2,238
Caterpillar Inc	03/20/01	1,126
Caterpillar Inc	11/05/01	464
Caterpillar Inc	11/06/01	697
Caterpillar Inc	12/14/01	2,471
Cisco Systems Inc	01/18/01	7,011
Cisco Systems Inc	02/05/01	850
Cisco Systems Inc	02/07/01	631
Cisco Systems Inc	02/08/01	936
Cisco Systems Inc	02/16/01	711

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Cisco Systems Inc	03/15/01	1,066
Cisco Systems Inc	03/19/01	514
Citigroup Inc	01/18/01	10,748
Citigroup Inc	03/09/01	1,251
Citigroup Inc	03/15/01	2,306
Citigroup Inc	03/20/01	1,155
Citigroup Inc	03/23/01	1,061
Citigroup Inc	05/30/01	1,303
Clorox	01/18/01	8,434
Clorox	03/13/01	802
Clorox	03/20/01	827
Coca Cola Co	01/18/01	4,349
Coca Cola Co	02/26/01	1,306
Coca Cola Co	03/09/01	1,289
Coca Cola Co	03/13/01	1,226
Coca Cola Co	03/14/01	1,184
Coca Cola Co	03/15/01	2,364
Coca Cola Co	05/17/01	1,204
Coca Cola Co	05/22/01	1,198
Coca Cola Co	06/19/01	660
Coca Cola Co	08/03/01	1,110
Coca Cola Co	12/19/01	1,663
Coca Cola Co	12/19/01	4,746
Conoco Inc	05/01/01	6,157
Conoco Inc	05/18/01	8,189
Conoco Inc	06/19/01	459
Conoco Inc	07/24/01	705
Conoco Inc	12/12/01	1,313
Corning Inc	01/18/01	6,568
Corning Inc	01/25/01	1,518
Corning Inc	01/26/01	2,809
Corning Inc	02/02/01	1,339
Corning Inc	02/05/01	1,257
Corning Inc	02/07/01	1,199
Corning Inc	02/14/01	945
Corning Inc	02/16/01	1,705
Corning Inc	03/06/01	778
Corning Inc	04/12/01	4,440
Corning Inc	04/19/01	5,103
Corning Inc	04/26/01	542
Corning Inc	05/04/01	1,138
Corning Inc	05/25/01	1,099
Costco Wholesale Corp	01/18/01	4,219
Costco Wholesale Corp	02/12/01	1,266
Costco Wholesale Corp	03/06/01	1,391
Costco Wholesale Corp	03/12/01	1,934
Costco Wholesale Corp	03/13/01	956
Costco Wholesale Corp	03/15/01	1,869
Costco Wholesale Corp	10/31/01	383
Dow Chemical Co	01/25/01	6,460
Dow Chemical Co	01/30/01	826
Dow Chemical Co	02/08/01	828

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Dow Chemical Co	02/09/01	807
Dow Chemical Co	02/12/01	799
Dow Chemical Co	03/09/01	3,559
Dow Chemical Co	03/13/01	851
Dow Chemical Co	03/15/01	801
Dow Chemical Co	06/29/01	1,708
EMC Corp	01/18/01	3,728
EMC Corp	02/05/01	1,760
EMC Corp	02/07/01	1,660
EMC Corp	02/08/01	1,271
EMC Corp	02/12/01	1,592
EMC Corp	02/14/01	1,400
EMC Corp	02/16/01	1,364
EMC Corp	03/06/01	2,112
EMC Corp	03/19/01	861
EMC Corp	03/20/01	900
EMC Corp	04/04/01	533
EMC Corp	04/18/01	861
EMC Corp	08/24/01	410
EchoStar Comm Cl A	03/16/01	663
Ecolab Inc	05/10/01	5,951
Ecolab Inc	06/14/01	1,025
Ecolab Inc	07/20/01	982
Ecolab Inc	07/24/01	1,177
Ecolab Inc	07/27/01	985
Ecolab Inc	08/02/01	1,007
Ecolab Inc	08/03/01	1,002
Eli Lilly & Co	01/18/01	6,252
Eli Lilly & Co	02/07/01	1,968
Eli Lilly & Co	02/08/01	2,011
Eli Lilly & Co	02/09/01	2,013
Eli Lilly & Co	02/16/01	1,875
Eli Lilly & Co	03/19/01	1,908
Emerson Electric	01/18/01	9,030
Emerson Electric	02/16/01	1,771
Emerson Electric	02/26/01	1,681
Emerson Electric	03/09/01	3,317
Emerson Electric	03/15/01	3,340
Emerson Electric	03/19/01	1,605
Emerson Electric	06/11/01	1,315
Emerson Electric	06/19/01	962
Emerson Electric	07/13/01	1,395
Emerson Electric	08/16/01	1,100
Emerson Electric	08/24/01	1,121
Exodus Comm Inc	01/18/01	1,697
Exodus Comm Inc	02/07/01	196
Exxon Mobil Corp	03/15/01	6,236
Exxon Mobil Corp	03/26/01	3,912
Exxon Mobil Corp	04/19/01	6,355
Exxon Mobil Corp	11/07/01	976
Exxon Mobil Corp	12/06/01	1,897
Fedex Corporation	01/18/01	8,558

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Fedex Corporation	03/16/01	1,025
Fedex Corporation	03/26/01	1,027
Fedex Corporation	03/27/01	1,039
Fedex Corporation	04/04/01	982
Fedex Corporation	04/05/01	1,111
Fedex Corporation	04/18/01	999
Fedex Corporation	05/14/01	766
Fedex Corporation	06/19/01	562
Fedex Corporation	08/22/01	1,011
Ford Motor Company	01/18/01	4,104
Ford Motor Company	02/09/01	700
Ford Motor Company	03/15/01	1,425
Ford Motor Company	03/16/01	714
Ford Motor Company	05/10/01	1,420
Ford Motor Company	05/17/01	697
Ford Motor Company	05/22/01	649
Ford Motor Company	05/30/01	1,866
Ford Motor Company	06/01/01	611
Ford Motor Company	06/14/01	616
Ford Motor Company	08/02/01	626
Ford Motor Company	09/21/01	5,289
Ford Motor Company	10/30/01	1,608
GM Hughes Electronics	01/18/01	3,969
GM Hughes Electronics	02/08/01	641
GM Hughes Electronics	03/12/01	1,116
GM Hughes Electronics	03/14/01	544
General Dynamics	09/17/01	4,148
General Dynamics	09/24/01	6,469
General Dynamics	10/31/01	819
General Dynamics	12/12/01	1,944
General Electric Co	01/18/01	7,048
General Electric Co	01/24/01	1,153
General Electric Co	02/08/01	1,204
General Electric Co	03/09/01	2,230
General Electric Co	03/12/01	2,091
General Electric Co	03/13/01	1,039
General Electric Co	03/15/01	2,081
General Electric Co	03/16/01	1,020
General Electric Co	06/11/01	1,187
General Electric Co	08/03/01	1,058
General Electric Co	08/16/01	1,036
General Electric Co	12/12/01	938
Gillette Co	01/18/01	3,430
Gillette Co	01/31/01	770
Gillette Co	03/13/01	790
Gillette Co	03/16/01	777
Gillette Co	03/23/01	782
Gillette Co	03/27/01	793
Gillette Co	04/10/01	750
Gillette Co	04/18/01	709
Gillette Co	04/26/01	683
Gillette Co	05/10/01	1,433

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Gillette Co	05/11/01	2,904
Gillette Co	06/06/01	1,454
Gillette Co	06/14/01	1,427
Gillette Co	11/14/01	783
Gillette Co	12/07/01	810
Guidant Corp	05/10/01	5,537
Guidant Corp	07/16/01	729
Guidant Corp	07/20/01	776
Home Depot Inc	01/18/01	9,323
Home Depot Inc	01/19/01	2,124
Home Depot Inc	03/13/01	1,053
Home Depot Inc	03/20/01	1,092
Home Depot Inc	03/23/01	983
Home Depot Inc	04/27/01	1,202
Home Depot Inc	06/29/01	1,178
Honeywell Int'l	08/24/01	4,868
Honeywell Int'l	09/17/01	1,553
Honeywell Int'l	09/17/01	1,550
Honeywell Int'l	10/01/01	2,671
Honeywell Int'l	10/04/01	1,373
Honeywell Int'l	10/22/01	2,077
Honeywell Int'l	10/29/01	737
IBM	01/18/01	8,010
IBM	02/26/01	2,117
IBM	03/13/01	1,903
IBM	03/19/01	920
IBM	04/04/01	1,821
IBM	06/01/01	566
IBM	06/26/01	1,121
Inktomi Corp	01/18/01	1,738
Intel Corp	01/18/01	9,356
Intel Corp	03/13/01	1,409
Intel Corp	03/19/01	1,350
Intel Corp	04/04/01	603
Intel Corp	04/18/01	1,474
Intel Corp	04/26/01	744
Intel Corp	04/27/01	2,240
Intel Corp	05/14/01	2,065
Intel Corp	05/17/01	717
Intel Corp	06/20/01	682
Intel Corp	06/25/01	710
Intel Corp	08/22/01	694
Intuit Inc	01/18/01	1,741
J P Morgan Chase & Co	01/18/01	10,285
J P Morgan Chase & Co	08/02/01	1,102
Johnson & Johnson	01/18/01	9,355
Johnson & Johnson	01/24/01	4,546
Johnson & Johnson	03/26/01	2,135
Johnson & Johnson	05/30/01	2,449
Johnson & Johnson	11/06/01	1,467
Johnson & Johnson	12/07/01	1,391
Johnson & Johnson	12/13/01	2,816

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Kellogg Company	06/20/01	5,691
Kellogg Company	06/29/01	2,197
Kellogg Company	07/16/01	738
Kellogg Company	07/24/01	887
Kellogg Company	07/27/01	726
Kellogg Company	08/02/01	758
Kellogg Company	10/09/01	8,717
Kellogg Company	10/25/01	1,500
Kellogg Company	10/26/01	3,003
Kellogg Company	10/29/01	746
Kellogg Company	11/14/01	770
Kellogg Company	12/07/01	736
Kellogg Company	12/12/01	1,463
Kopin Corp	01/18/01	4,125
Kopin Corp	02/26/01	652
Kopin Corp	03/06/01	219
Kopin Corp	03/13/01	625
Level 3 Comm	01/18/01	3,511
Level 3 Comm	01/19/01	1,094
Level 3 Comm	01/31/01	2,172
Level 3 Comm	02/02/01	970
Level 3 Comm	02/05/01	919
Level 3 Comm	02/09/01	858
Level 3 Comm	02/16/01	773
Level 3 Comm	03/06/01	613
Level 3 Comm	03/13/01	916
MICHIGAN Muni Bnd Auth (PreRfd 10-1-02) 6.600% Due 10-01-18	06/04/01	5,323
MICHIGAN ST GO ULT Environ Prtc Prog 6.000% Due 11-01-03	01/19/01	26,566
MICHIGAN ST Trunk Line Ser A (PreRfd 11/15/04) 5.625% Due 11-15-13	08/14/01	27,307
MICHIGAN ST Univ Revs Gen-Ser A-1 4.250% Due 08-15-04	01/24/01	15,285
MICHIGAN ST Univ Revs Ser A (PreRfd 8/15/02) 5.500% Due 08-15-22	02/14/01	51,436
Masco Corp	01/18/01	4,165
Masco Corp	03/15/01	1,170
Masco Corp	03/19/01	1,150
Masco Corp	03/20/01	1,153
Masco Corp	03/23/01	561
Masco Corp	03/28/01	1,128
Masco Corp	04/26/01	603
Masco Corp	04/30/01	1,196
Masco Corp	05/14/01	1,685
Masco Corp	07/27/01	626
Masco Corp	08/22/01	642
Masco Corp	11/06/01	2,048
McGraw-Hill	01/18/01	6,199
McGraw-Hill	03/14/01	1,422
McGraw-Hill	09/10/01	5,532
McGraw-Hill	10/10/01	1,254

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

McGraw-Hill	10/11/01	1,254
McGraw-Hill	10/19/01	4,021
Medtronic Inc	01/18/01	9,415
Medtronic Inc	02/07/01	1,273
Medtronic Inc	02/08/01	1,301
Medtronic Inc	02/16/01	1,260
Medtronic Inc	03/09/01	1,254
Medtronic Inc	03/12/01	2,488
Medtronic Inc	03/13/01	1,198
Medtronic Inc	03/15/01	2,328
Medtronic Inc	03/19/01	1,166
Medtronic Inc	05/22/01	2,208
Medtronic Inc	06/04/01	1,078
Microsoft Corp	05/01/01	1,748
Microsoft Corp	05/25/01	711
Microsoft Corp	06/06/01	4,739
Microsoft Corp	06/14/01	6,990
Microsoft Corp	08/02/01	1,677
Microsoft Corp	09/17/01	1,366
Motorola Inc	01/18/01	10,232
Motorola Inc	02/07/01	502
Motorola Inc	02/09/01	484
Motorola Inc	03/06/01	450
Motorola Inc	03/15/01	755
Motorola Inc	03/16/01	352
Motorola Inc	04/04/01	346
Nextel Comm	01/18/01	4,164
Nokia Corp ADR	01/18/01	3,107
Nokia Corp ADR	01/25/01	934
Nokia Corp ADR	01/31/01	883
Nokia Corp ADR	02/05/01	824
Nokia Corp ADR	02/08/01	310
Omnicom Group	12/06/01	4,501
Oracle Corporation	01/18/01	10,069
Oracle Corporation	01/25/01	748
Oracle Corporation	01/26/01	1,484
Oracle Corporation	02/09/01	627
Oracle Corporation	03/26/01	798
Oracle Corporation	03/27/01	827
PLYMOUTH-CANTON MI Cmnty Sch Dist GO ULT (PreRfd 5/1/ 6.625% Due 05-01-16	02/07/01	10,166
Pepsico Inc	03/15/01	4,405
Pepsico Inc	03/16/01	1,077
Pepsico Inc	03/19/01	1,062
Pepsico Inc	03/20/01	1,058
Pepsico Inc	03/27/01	1,089
Pepsico Inc	04/10/01	1,047
Pepsico Inc	04/20/01	1,052
Pepsico Inc	05/22/01	1,114
Pepsico Inc	07/24/01	1,122
Pepsico Inc	08/02/01	1,111
Pepsico Inc	11/06/01	1,201

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Pepsico Inc	12/07/01	1,181
Pfizer Inc	01/18/01	10,341
Pfizer Inc	03/09/01	1,064
Pfizer Inc	03/16/01	933
Pfizer Inc	03/19/01	944
Pfizer Inc	03/20/01	956
Pfizer Inc	03/23/01	938
Pfizer Inc	04/04/01	984
Pfizer Inc	04/10/01	1,015
Pfizer Inc	04/20/01	994
Pfizer Inc	06/11/01	1,073
Pfizer Inc	07/16/01	939
Pfizer Inc	12/13/01	1,995
Schlumberger Ltd	07/09/01	6,426
Schlumberger Ltd	07/20/01	1,326
Schlumberger Ltd	07/25/01	4,183
Schlumberger Ltd	08/14/01	1,239
State Street Corp	03/15/01	6,844
State Street Corp	07/17/01	1,235
State Street Corp	10/10/01	1,077
State Street Corp	10/25/01	4,558
Target Corp	03/06/01	2,891
Target Corp	03/12/01	1,866
Target Corp	03/13/01	914
Target Corp	03/14/01	898
Target Corp	03/16/01	879
Target Corp	06/19/01	547
Target Corp	08/24/01	1,273
Target Corp	10/29/01	772
Target Corp	10/31/01	781
Texas Instruments	01/18/01	10,060
Texas Instruments	01/23/01	3,379
Texas Instruments	01/25/01	1,075
Texas Instruments	01/26/01	2,049
Texas Instruments	02/05/01	1,028
Texas Instruments	02/07/01	1,953
Texas Instruments	02/08/01	999
Texas Instruments	02/16/01	937
Texas Instruments	02/26/01	734
Texas Instruments	03/13/01	784
Texas Instruments	06/01/01	861
Texas Instruments	06/04/01	851
Texas Instruments	06/19/01	472
Texas Instruments	06/20/01	741
Texas Instruments	06/26/01	761
Texas Instruments	12/19/01	717
U.S. TREAS BILL 0.000% Due 01-03-02	09/27/01	49,694
UTICA MI GO ULT Cmnty Schs 5.375% Due 05-01-04	05/09/01	15,758
VeriSign Inc	01/18/01	4,522
VeriSign Inc	01/25/01	1,894

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

VeriSign Inc	02/07/01	654
VeriSign Inc	03/09/01	840
WALLED LAKE MI Cons Sch Dist GO ULT 5.500% Due 05-01-02	02/05/01	25,597
Wells Fargo & Co	03/08/01	2,517
Wells Fargo & Co	03/09/01	2,515
Wells Fargo & Co	03/14/01	1,170
Wells Fargo & Co	06/14/01	1,101
Wells Fargo & Co	06/19/01	656
Wells Fargo & Co	07/20/01	1,159
Wells Fargo & Co	10/25/01	4,459
Wells Fargo & Co	11/07/01	1,055

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

BROKERAGE ACCOUNT
FROM 01-01-01 THROUGH 12-31-01

SALES

ANN ARBOR MI Ser A 6.250% Due 09-01-01	09/01/01	25,000
AOL Time Warner	05/30/01	2,528
AOL Time Warner	07/18/01	3,373
AOL Time Warner	08/15/01	2,910
AOL Time Warner	08/15/01	970
Advent Software	05/30/01	3,415
Advent Software	06/28/01	2,926
Advent Software	06/28/01	1,951
Advent Software	06/28/01	1,626
Advent Software	08/31/01	1,332
Advent Software	08/31/01	1,332
Advent Software	11/20/01	948
American Express Co	10/08/01	5,370
American Express Co	10/08/01	1,342
American Express Co	10/08/01	671
American Express Co	10/08/01	403
American Express Co	10/08/01	671
American Express Co	10/08/01	671
Anadarko Petroleum	04/23/01	4,547
Applied Materials Inc	11/09/01	961
Applied Materials Inc	11/09/01	6,729
Automatic Data Proc	03/09/01	10,141
Automatic Data Proc	03/09/01	1,449
Automatic Data Proc	03/09/01	1,449
Boeing Co	09/28/01	824
Boeing Co	09/28/01	4,119
Boeing Co	09/28/01	1,648
Boeing Co	09/28/01	824
Boeing Co	09/28/01	2,472
Boeing Co	09/28/01	824
Boeing Co	09/28/01	1,648
Caterpillar Inc	08/31/01	1,256
Caterpillar Inc	08/31/01	1,256
Caterpillar Inc	08/31/01	2,512
Caterpillar Inc	08/31/01	1,256
Cisco Systems Inc	04/24/01	2,952
Cisco Systems Inc	04/24/01	422
Cisco Systems Inc	04/24/01	337
Cisco Systems Inc	04/24/01	506
Cisco Systems Inc	04/24/01	422
Cisco Systems Inc	04/24/01	843
Cisco Systems Inc	04/24/01	422
Citigroup Inc	09/20/01	1,849
Clorox	04/17/01	7,612
Clorox	04/17/01	761

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Sales 2 of 4

Clorox	04/17/01	761
Coca Cola Co	09/17/01	3,698
Coca Cola Co	09/17/01	1,233
Coca Cola Co	09/17/01	1,233
Coca Cola Co	09/17/01	1,233
Corning Inc	03/12/01	2,395
Corning Inc	03/12/01	599
Corning Inc	03/12/01	1,197
Corning Inc	03/12/01	599
Corning Inc	03/12/01	599
Corning Inc	03/12/01	599
Corning Inc	03/12/01	599
Corning Inc	03/12/01	1,197
Corning Inc	03/12/01	599
Corning Inc	06/12/01	3,582
Corning Inc	06/12/01	895
Corning Inc	06/12/01	3,582
Corning Inc	06/12/01	895
Corning Inc	06/12/01	448
Costco Wholesale Corp	09/20/01	1,578
Costco Wholesale Corp	12/31/01	2,231
Dow Chemical Co	05/09/01	1,857
EMC Corp	05/29/01	1,717
EMC Corp	05/29/01	858
EMC Corp	05/29/01	858
EMC Corp	05/29/01	687
EMC Corp	05/29/01	858
EMC Corp	09/19/01	315
EMC Corp	09/19/01	378
EMC Corp	09/19/01	629
EMC Corp	09/19/01	315
EMC Corp	09/19/01	315
EMC Corp	09/19/01	315
EMC Corp	09/19/01	252
EMC Corp	09/19/01	315
EchoStar Comm Cl A	05/31/01	762
Ecolab Inc	09/17/01	896
Ecolab Inc	09/17/01	896
Ecolab Inc	09/17/01	896
Ecolab Inc	09/17/01	5,374
Ecolab Inc	09/17/01	896
Ecolab Inc	09/17/01	896
Ecolab Inc	09/17/01	1,075
Eli Lilly & Co	10/17/01	3,742
Eli Lilly & Co	12/04/01	2,064
Exodus Comm Inc	03/09/01	942
Exodus Comm Inc	03/09/01	126
Fedex Corporation	09/05/01	3,097
Ford Motor Company	08/13/01	590
Ford Motor Company	08/13/01	1,180
Ford Motor Company	08/13/01	1,180
Ford Motor Company	08/13/01	590

Sales 3 of 4

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Ford Motor Company	12/12/01	414
Ford Motor Company	12/12/01	2,482
Ford Motor Company	12/12/01	414
Ford Motor Company	12/12/01	414
Ford Motor Company	12/12/01	1,241
Ford Motor Company	12/12/01	414
Ford Motor Company	12/12/01	414
Ford Motor Company	12/12/01	827
GM Hughes Electronics	06/12/01	3,012
GM Hughes Electronics	06/12/01	502
GM Hughes Electronics	06/12/01	1,004
GM Hughes Electronics	06/12/01	502
Gillette Co	09/18/01	3,015
Gillette Co	09/21/01	672
Gillette Co	09/21/01	672
Gillette Co	09/21/01	672
Guidant Corp	09/27/01	931
Home Depot Inc	08/01/01	1,252
Home Depot Inc	08/01/01	1,252
Home Depot Inc	11/20/01	2,311
Home Depot Inc	12/31/01	3,835
IBM	11/29/01	565
IBM	11/29/01	565
Inktomi Corp	02/16/01	1,325
Intel Corp	10/16/01	1,856
Intel Corp	11/29/01	1,593
Intel Corp	12/04/01	3,213
Intuit Inc	03/14/01	2,062
J P Morgan Chase & Co	09/05/01	7,690
J P Morgan Chase & Co	09/05/01	961
Johnson & Johnson	09/05/01	2,770
Johnson & Johnson	09/05/01	1,385
Johnson & Johnson	09/21/01	3,934
Johnson & Johnson	11/29/01	1,455
Kellogg Company	08/23/01	811
Kellogg Company	08/23/01	973
Kellogg Company	08/23/01	811
Kellogg Company	08/23/01	2,433
Kellogg Company	08/23/01	811
Kellogg Company	08/23/01	6,489
Kopin Corp	05/24/01	2,468
Kopin Corp	06/20/01	802
Kopin Corp	06/20/01	200
Kopin Corp	06/20/01	601
Kopin Corp	06/20/01	802
Level 3 Comm	03/14/01	1,203
Level 3 Comm	03/14/01	401
Level 3 Comm	03/14/01	802
Level 3 Comm	03/14/01	401
Level 3 Comm	03/14/01	401
Level 3 Comm	03/14/01	401
Level 3 Comm	03/14/01	401

DAVID LEE CAMP
SCHEDULE IV
TRANSACTIONS

Level 3 Comm	03/14/01	401
Level 3 Comm	03/14/01	802
McData Corp	02/23/01	13
McData Corp	02/27/01	23
McData Corp	02/27/01	18
McData Corp	02/27/01	18
McGraw-Hill	05/07/01	6,555
McGraw-Hill	05/07/01	1,639
McGraw-Hill	11/30/01	5,641
McGraw-Hill	11/30/01	4,231
McGraw-Hill	11/30/01	1,410
McGraw-Hill	11/30/01	1,410
Motorola Inc	06/12/01	6,097
Motorola Inc	06/12/01	339
Motorola Inc	06/12/01	339
Motorola Inc	06/12/01	339
Motorola Inc	06/12/01	677
Motorola Inc	06/12/01	339
Motorola Inc	06/12/01	339
Nextel Comm	03/14/01	1,817
Nokia Corp ADR	02/16/01	2,026
Nokia Corp ADR	02/16/01	675
Nokia Corp ADR	02/16/01	675
Nokia Corp ADR	02/16/01	675
Nokia Corp ADR	02/16/01	270
Oracle Corporation	02/21/01	3,470
Oracle Corporation	05/30/01	2,244
Oracle Corporation	05/30/01	374
Oracle Corporation	05/30/01	748
Oracle Corporation	05/30/01	374
Oracle Corporation	05/30/01	748
Oracle Corporation	05/30/01	748
PLYMOUTH-CANTON MI Cmnty Sch Dist GO ULT (PreRfd 5/1/ 6.625% Due 05-01-16	05/01/01	10,100
Pepsico Inc	09/18/01	1,215
Pepsico Inc	09/18/01	1,215
Pepsico Inc	09/18/01	1,215
Pfizer Inc	10/15/01	1,030
Pfizer Inc	11/29/01	1,080
Schlumberger Ltd	12/06/01	3,935
Target Corp	12/31/01	2,065
Texas Instruments	10/09/01	1,092
Texas Instruments	10/18/01	2,015
VeriSign Inc	03/14/01	1,871
VeriSign Inc	03/14/01	935
VeriSign Inc	03/14/01	374
VeriSign Inc	03/14/01	748

Name David Lee Camp | Page 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	A.G. Edwards & Sons, Inc.	Margin Account		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name David Lee Camp

Page 1 **of** 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American/Israel Education Found.		Aug 18-26	Saginaw, MI-TelAviv-Sag.MI	Y	Y	N	N
Smith Group		Feb 7-10	Wash.D.C.-London-Sag.MI	Y	Y	N	N

This page may be copied if more space is required.

Name David Lee Camp	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
None	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

ERIC CANTOR
7TH DISTRICT, VIRGINIA

COMMITTEES
FINANCIAL SERVICES

SUBCOMMITTEES
FINANCIAL INSTITUTIONS AND
CONSUMER CREDIT

HOUSING AND COMMUNITY OPPORTUNITY

OVERSIGHT AND INVESTIGATIONS

INTERNATIONAL RELATIONS

SUBCOMMITTEES
MIDDLE EAST AND SOUTH ASIA

EUROPE

ASSISTANT MAJORITY WHIP

Congreſs of the United States
House of Representatives
Washington, DC 20515–4607

WASHINGTON OFFICE:
329 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225–2815
FAX: (202) 225–0011

RICHMOND OFFICE:
5040 SADLER PLACE, SUITE 110
GLEN ALLEN, VA 23060
(804) 747–4073
FAX: (804) 747–5308

CULPEPER OFFICE:
763 MADISON ROAD, SUITE 207
CULPEPER, VA 22701
(540) 825-8960
FAX: (540) 825–8964

eric.cantor@mail.house.gov
http://cantor.house.gov

May 14, 2002

The Honorable Jeff Trandahl
Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, DC 20515

MC
⑬

Dear Mr. Trandahl:

Enclosed please find my Financial Disclosure Statement for 2001. Some of the assets appearing for the first time on Schedule III are the result of 1) the addition of my wife to a joint tenancy account established by my wife and her sister, and 2) the modification to a trust in which my wife is a beneficiary. All of these new assets are indicated on the Disclosure Statement with an "T" in the transaction column on Schedule III.

Sincerely,

Eric Cantor
Member of Congress

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:39
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

DELIVERED
VERED

EGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:39
OFFICE OF THE CLERK
(Office Use Only)

ERIC IVAN CANTOR
(Full Name)

6004 Oxbury Ct, Glen Allen, VA 23059
(Mailing Address)

Daytime Telephone: 202·225·2815

Filer Status	☒ Member of the U.S. House of Representatives State: Virginia District: 7	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Eric Cantor	5/14/02

Name ERIC I. CANTOR

Page 2 of 12

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Commonwealth of Virginia - VA College Savings Plan	spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name ERIC I. CANTOR

Page 4 of 12

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster	Indefinite																		Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	First Eagle Sogen Global Fund			X										X			X							X								
	Virginia Prepaid Education Program				X											X					X											
	Virginia Education Savings Trust			X												X					X											
	Goldman Sachs Stable Value			X												X							X									
	Goldman Sachs Short Duration Govt			X												X							X									
	Goldman Sachs Core Fixed Income				X											X								X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ERIC I. CANTOR

Page 5 of 12

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Markel Corporation stock			X										X							X											
	Williams Companies				X									X									X									P (partial)
	Williams Communications Group ClassA			X										X							X											P (partial)
	Metromedia Intl Group Inc Pfd Conv			X												X					X											
	Jefferson Pilot Corp Stock			X										X									X									I
	Royal Dutch Petroleum Stock				X									X									X									I
	Suntrust Banks Inc. stock				X									X									X									I
	Weyerhauser Co. stock			X										X									X									I
	Salomon Bros High Inc. Fd II			X										X									X									I
	Sears Roebuck Acceptance Corp Notes				X											X								X								I
	GlaxoSmithKline PLC ADR				X									X									X									I
	Goldman Sachs Group Inc				X									X								X										
	Liberty Media Corp New stk A				X									X							X											
	Lucent Technologies			X										X							X											
	National Semiconductor Corp			X										X							X											
	Tredegar Corp. stock			X										X								X										I
	Verizon Communications Stock			X										X									X									I
	Wachovia Corp 2nd New stock				X									X									X									E name change
	Newmont Mining Corp stock			X										X								X										
	Leap Wireless Intl Inc. stk			X										X							X											
	News Corp Ltd ADR New			X										X								X										
	North Fork Bancorporation stk			X										X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ERIC I. CANTOR

Page 6 of 12

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Profit Recovery Group Int'l Inc			X										X							X											
	Qualcomm Inc. stock					X								X							X											
	Schlumberger Ltd stk				X									X									X									
	Viacom Inc. Class A stock			X										X							X											
	Xerox Corporation stock			X										X							X											
	Target Corporation stock				X									X								X										
	Transocean Sedcoforex Inc. Ord			X										X								X										
	Reliant Energy Inc. stock					X								X											X							
	Rio Tinto PLC Sponsored ADR			X										X									X									
	Royal Bank of Scotland PLC				X									X										X								
	Sara Lee Corporation stock			X										X									X									
	Stone Street Fund 1990, L.P. Goldman, Sachs & Co., NY, NY		X														X			Ltd partnership interest			X									
	Indian Trail Groves, L.P. Loxahatchee, FL; orange groves			X																Ltd partnership	X											
	CLM Capital Inc. Richmond, VA Account Factoring				X															Sub S income							X					
	Trust Mor Mortgage Co. stock Richmond VA: mortgage banking						X													Sub S income							X					
	Crown Development Co. LLC Stock Richmond VA: real estate development				X															Partnership income	X											
	CLM Acceptance Co. stock Richmond VA: Account factoring			X																Sub S income				X								
	CLM Financial Co. stock Richmond, VA: account factoring			X																Sub S income					X							
	Water Tower Assocs. Inc. stock Richmond VA: real estate development				X															Sub S income	X											
	Note receivable: Cantor & Cantor Law firm, Richmond VA					X										X				Interest income				X								E
	Note receivable: Richmond Resources, Ltd.						X									X					X											
	Loan to Cantor for Congress						X									X					X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ERIC I. CANTOR

Page 7 of 12

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Richmond Resources 401(k) API Growth			X												X						X										
	Virginia Retirement System				X															N/A	X											
	Congregation Or Atid Bond		X													X					X											
	Heritage Cash Trust MMA - Raymond James			X												X						X										
	AT&T Corp Stock			X										X								X										
	AT&T wireless services stock			X										X							X											
	Allied Cap Corp New stock				X									X											X							
	Archer Daniels Midland stock			X										X								X										
	Alltel Corporation stock				X									X									X									
	Boeing Company stock			X										X									X									P
	Consolidated Edison stock				X									X										X								
	Amgen Incorporated stock			X										X							X											P
	Citizens Communications Co. stk			X										X							X											I
	Telephone + Data Systems Stk				X									X									X									
	Walt Disney Corp stock			X										X								X										
	Paxar Corporation stock			X										X							X											
	Chubb Corporation stock			X										X								X										
	Granite Broadcasting Stock			X										X							X											P
	ECI Telecom Ltd Stk			X										X							X											
	DuPont stock			X										X								X										
	General Motors Corp Class H			X										X							X											P
	General Motors Corp Stock			X										X									X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ERIC I. CANTOR

Page 8 of 12

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	MSIF Trust- Fixed Income Portfolio			X												X							X									
	Goldman Sachs Global Income			X												X							X									
	Goldman Sachs High Yield Bonds			X												X						X										
	Goldman Sachs Real Estate Securities Fund			X												X					X											
	Goldman Sachs Growth & Income Fund			X												X							X									
	SSgA - S&P 500 Index			X												X						X										
	Goldman Sachs Core U.S. Equity			X												X							X									
	Janus Growth Equity Fund			X												X							X									
	Goldman Sachs Mid Cap Value Equity				X											X						X										
	Goldman Sachs CORE Small Cap Equity			X												X					X											
	TCW Cowen Asset Mgt Small Cap			X												X					X											
	Goldman Sachs Int'l Equity			X												X					X											
	T. Rowe Price - Foreign Equity Fund			X												X					X											
	Pequot Cap Mgt U.S. Equity Hedge Fund			X												X							X									
	Ortega Advisors multi-mkt Hedge Fund			X												X					X											
	Cap Guardian Trust Emerging Mkts			X												X							X									
	API Trust Growth Fund			X												X	X						X									
	Bank of America Accounts					X										X						X										
	Virginia Credit Union Accounts				X											X								X								
	BB&T Accounts			X												X						X										
	Commonwealth of VA 457 Plan VRS Income & Growth			X												X					X											P
	Dominion Stock			X										X								X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ERIC I. CANTOR

Page 9 of 12

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Franklin Federal Tax Free Fund					X								X											X							
	Lord Abbett Global Fund				X									X											X							
	Phoenix Goodwin Multi-Sector Fund				X									X										X								
	VanKampen Municipal Inc. Fund			X										X									X									
	Dreyfus Premier Fla. Muni Bond Fund				X									X									X									I
	Colonial High Inc. Mun Trust				X									X										X								I
	MFS Charter Inc. Trust			X										X									X									I
	Clay Cty, FL Housing Finance Auth. Bond				X											X									X							
	FL State Brd of Ed Capital Outlay Bond			X												X							X									
	Hillsborough Cty FL Aviation Authority Revenue Bond			X												X							X									
	Lee Cty FL Cap. and Transportation Facilities Revenue Bond				X											X								X								
	Orlando & Orange Cty Expressway Authority FL Revenue Bond			X												X							X									
	Philadelphia PA Auth. for Industrial Development Airport Revenue Bond				X											X								X								
	Broward Cty FL Water & Sewer Utility Revenue Bond				X											X								X								I
	Dade Cty FL Aviation Revenue Bond Miami Int'l Airport				X											X								X								I
	Kanawha Cty WV Residential Mortgage Rev Bond			X												X							X									I
	Orange Cty FL Health Facilities Auth Rev Bond, hospital Rev				X											X								X								I
	Orange Cty FL Health Fac Auth Rev mand. sinking fund Bond			X												X							X									I
	Orange Cty FL Health Fac Auth Rev Bonds [illegible] AMBAC					X										X									X							I
	NY Electric & Gas 1st Mtge Sinking Fund Bond			X												X							X									
	Tampa Electric Co. First Mortgage Bond			X												X							X									
	FNMA Series 93-021			X												X							X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ERIC I. CANTOR

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	BLOCK A	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	FNMA Series 94-036			X												X							X									
	AT&T Capital Corp Sr Pines 8.25%				X											X								X								
	AT&T Cap Corp Pines 8.125%					X										X									X							
	Consumers Energy Comp Financing III 9.25%					X										X									X							
	[illegible]																															
	Pacificorp Capital I QUIPS 8.25%			X												X								X								
	Jose Seagram & Sons Inc Bonds 8%				X											X								X								
	TDS Capital I TOPRS 8.5%				X											X								X								
	Tennessee Valley Auth PARRS A 2029 Series A 6.5%					X										X									X							
	Travelers P&C Capital I Pfd TR 8.08%				X											X								X								
	Crown Amern Rlty Trust REIT			X										X								X										
	Plum Creek Timber Company Inc			X										X										X								P
	United Dominion Realty Tr Inc REIT			X										X									X									
	Capital RE Corp LLC			X										X								X										
	Corp Backed Trust CTFs Series 01-30 GLW 8%				X											X								X								P
	Telephone & Data Systems Inc. NT Ser A 7.6%			X												X					X											P
	Yorkshire Cap Trust I TR Secs 8.08%				X											X								X								P

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
	Cantor + Cantor Partnership Interest to Cantor + Cantor Note Receivable			X	1-2-01			X							
	Israel state 15 yr Inc. Bond 7th Developmt Issue 4.00% 12/1/01		X		12-3-01	X									
	Boeing Company Common stock	X			10-12-01	X									
	PlumCreek Timber Company stock	X			10-26-01	X									
	Williams Companies Inc. stock	X			1-18-01		X								
	Granite Broadcasting Corp. stock	X			12-5-01	X									
	General Motors Corp CL H stock	X			1-24-01	X									
	Amgen Incorporated Stock	X			4-26-01	X									
	First Union Corp Stock to Wachovia Corp			X	Name change		X								
	Commonwealth of VA 457 Plan - VRS Inc. + Growth	X			9-30-01	X									
	Dominion Stock	X			9-15-01	X									
	Corporate Backed Tr Ctfs Ser GLW 8%	X			9-18-01		X								
	Telephone + Data Sys. Inc. Nt Ser A 7.6%	X			11-28-01	X									
	Yorkshire Capital Trust I Tr. Secs	X			8-9-01		X								

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Name ERIC I. CANTOR

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	American Israel Education Fndatn	Aug 18-26	Rich, VA - NewYork - Israel - NY - Richmond	Y	Y	N	N
	Jewish Israel Nat'l Security Assn.	June 28-July 3	DC - NewYork - Israel - NY - DC	Y	N	N	N

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Name ERIC I CANTOR | Page 3 of 12

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Virginia Holocaust Museum
Vice President / Director	CLM Capital Inc.
Vice President / Director	Water Tower Associates
Manager	Crown Development Co., L.L.C.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

(12)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 12

For use by Members, officers, and employees

Shelley Moore Capito
(Full Name)

2 Comstock Place Charleston, WV 25314
(Mailing Address)

202-225-2711
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: WV District: 02	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Shelley Moore Capito	5-15-2002

SCHEDULE I - EARNED INCOME

Name Shelley Moore Capito

Page 2 of 12

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Salomon Smith Barney	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Shelley Moore Capito

Page 3 of 12

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	401(k)-Citicorp Stock Fund	$100,001 - $250,000	DIVIDENDS	N/A	
SP	401(k)-Smith Barney Aggressive Growth Fund	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	N/A	
SP	401(k)-Smith Barney International Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	N/A	
SP	401(k)-Smith Barney Large Cap Value Fund	$250,001 - $500,000	DIVIDENDS/CAPITAL GAINS	N/A	
SP	Alliance Petroleum	$1,001 - $15,000	Royalties	$201 - $1,000	
SP	AOL	$15,001 - $50,000	DIVIDENDS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Shelley Moore Capito

SP	Banc One Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	BB&T Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	BB&T Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	S
	BB&T Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Bristol Myers Squibb Co.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Charleston WV Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC	Chevron Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Cisco Systems Inc	$1,001 - $15,000	DIVIDENDS	NONE	P,S
DC	Cisco Systems Inc	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Citigroup Employee Fund of Funds, L.P.	$1,001 - $15,000	INTEREST/CAPITAL GAINS	$201 - $1,000	
SP	Citigroup Inc	$1,000,001 - $5,000,000	DIVIDENDS/CAPITAL GAINS	$15,001 - $50,000	S
DC	Citigroup Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Citigroup Inc.	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
DC	Citigroup Inc.	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Shelley Moore Capito

Page 5 of 12

SP	Citigroup Nonqual Options	$100,001 - $250,000	N/A	NONE	E
SP	Coca-Cola Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Edgewood Country Club	$1,001 - $15,000	N/A	NONE	
DC	Europacific Growth Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
SP	Exxon Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	General Electric Co.	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	S
SP	General Motors Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Huntington Bancshares Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Huntington Bancshares Inc	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	IBM Corp	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Independent Community Bankshares	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Intel Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Intel Corp	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
DC	Investment Co. Of America	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Shelley Moore Capito

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DC	Investment Co. Of America	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
SP	IRA - America Online	$1,001 - $15,000	DIVIDENDS	NONE	
SP	IRA - Amgen Inc	$1,001 - $15,000	DIVIDENDS	NONE	
SP	IRA - Coca-Cola Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	IRA - Gillette Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	IRA - Pfizer Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	IRA - Tyco Intl.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	IRA - United Parcel Service Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	IRA - Worldcom Inc	$1,001 - $15,000	DIVIDENDS	NONE	
SP	IRA-Smith Barney Large Cap Value Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
	IRA-Smith Barney Money Fund Retirement Portfolio	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	IRA-Smith Barney Money Funds	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Jefferson County WV Industrial Development Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Jefferson County WV Residential Mortgage Revenue Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Shelley Moore Capito

SP	Merck	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Norfolk Southern Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Pfizer	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Proctor & Gamble Co.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	R-H Capital Partners, L.P.	$15,001 - $50,000	INTEREST/CAPITAL GAINS	$1,001 - $2,500	
SP	Royal Dutch Petroleum Co	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Smith Barney Money Funds	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	Smith Barney Money Funds	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Smith Barney Pension	$50,001 - $100,000	DIVIDENDS/INTEREST	NONE	
SP	SSB Capital Partners I, L.P.	$1,001 - $15,000	INTEREST/CAPITAL GAINS	$1 - $200	
	Tri-Star Resources	$1,001 - $15,000	DIVIDENDS	NONE	
SP	TRV Employees Fund, L.P.	$1,001 - $15,000	INTEREST/CAPITAL GAINS	$201 - $1,000	
	Verizon Communications Inc.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Vista Resources	$1,001 - $15,000	Royalties	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Shelley Moore Capito

SP	Walt Disney Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Walt Disney Co.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
DC	Washington Mutual Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
	WV General Obligation State Road Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	WV General Obligation State Road Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	WV Public Employees Retirement System	$1,001 - $15,000	INTEREST	N/A	
SP	WV St Univ & College St College Sys Rev Ref	$1,001 - $15,000	INTEREST/CAPITAL GAINS	$1 - $200	
SP	WV State Housing Development Fund Housing Financing Bond	$15,001 - $50,000	INTEREST	$201 - $1,000	S
SP	WV State Infrastructure General Obligation Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	WV Water Development Authority Revenue Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	WV Water Development Authority Revenue Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Shelley Moore Capito

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Walt Disney Co.	P	9/20/01	$1,001 - $15,000
SP	General Electric Co.	S	4/19/01	$1,001 - $15,000
SP	Intel Corp	P	3/9/01	$1,001 - $15,000
SP	BB&T Corp	S	4/5/01	$1,001 - $15,000
SP	WV State Housing Dev Fund Hsg Fin	S	5/1/01	$15,001 - $50,000
SP	Citigroup Inc	S	11/13/01	$15,001 - $50,000
SP	Citigroup Nonqual Options	E	10 times - various dates in 2001	$50,001 - $100,000
SP	Pfizer	P	3/19/01	$1,001 - $15,000
SP	Merck	P	3/19/01	$1,001 - $15,000
SP	AOL	P	8/16/01	$15,001 - $50,000
SP	Jefferson Cnty WV Residential Mtg Rev	S	8/1/01	$1,001 - $15,000
SP	Cisco Systems Inc	PS	3/09/01 & 12/31/01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Shelley Moore Capito

Page 10 of 12

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Cisco Systems Inc	P	3/9/01	$1,001 - $15,000
SP	Citigroup Inc	S	10/17/01	$15,001 - $50,000
SP	Citigroup Inc	S	10/11/01	$15,001 - $50,000
SP	Citigroup Inc	S	5/16/01	$15,001 - $50,000
SP	Citigroup Inc	S	5/3/01	$15,001 - $50,000
SP	Citigroup Inc	S	4/19/01	$15,001 - $50,000
SP	Citigroup Inc	S	4/2/01	$15,001 - $50,000
SP	Citigroup Inc	S	3/20/01	$15,001 - $50,000
SP	Citigroup Inc	S	2/16/01	$15,001 - $50,000
SP	Citigroup Inc	S	2/15/01	$15,001 - $50,000
SP	Citigroup Inc	S	2/2/01	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Shelley Moore Capito

Page 11 of 12

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Salomon Smith Barney	Margin loan	$100,001 - $250,000

SCHEDULE VIII - POSITIONS

Name Shelley Moore Capito

Page 12 of 12

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Kanawha Scholars Fund - The Greater Kanawha Valley Foundation

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 14 PM 3:17

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

(6)

(Office Use Only)

LOIS G. CAPPS
(Full Name)

1216 STATE STREET, SUITE 403
(Mailing Address)

SANTA BARBARA, CALIFORNIA 93101

Daytime Telephone: 805-730-1710

Filer Status	☒ Member of the U.S. House of Representatives	State: CA District: 22	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A ***$200 penalty*** **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☒	**No** ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐	**No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐	**No** ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☒	**No** ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒	**No** ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☐	**No** ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☒	**No** ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐	**No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐	**No** ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐	**No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐	**No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lois Capps	5/14/02

Name Lois G. Capps

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	AUGSBURG FORTRESS PUBLISHERS	BOOK ROYALTIES	630.
	HARPER COLLINS PUBLISHERS	BOOK ROYALTIES	372.
	BEACON PRESS	BOOK ROYALTIES	46.

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Lois G. Capps

Page 3 of 6

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Amgen, Inc. (IRA)			X																	X											
	Church & Dwight (IRA)			X																	X											
	Compaq Computers (IRA)			X																	X											
	FNMA (IRA)			X																	X											
	Lowes (IRA)			X																	X											
	McKesson Corp (IRA)			X																	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Lois G. Capps

Page 4 of 6

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Medtronic (IRA)			x																	x											
	Nokia (IRA)			x																	x											
	Sun Microsystems (IRA			x																	x											
	Target Corp (IRA)			x																	x											
	Tyco Int'l. (IRA)			x																	x											
	Worldcom (IRA)			x																	x											
	Xerox (IRA)			x																	x											
	Geo Putnam Fund					x								x										x								
	Putnam Tax-exempt			x										x								x										s
	Putnam Global Equity					x								x								x										
	Putnam Growth/Equity				x									x									x									
	Putnam International				x																x											s
	Putnam MMF			x										x											x							
	Putnam Research				x									x								x										
	Putnam Tax Smart Equi					x															x											
	Congressional Credit			x												x							x									
	Mid State Bank			x												x							x									
	Fidelity Magellan					x								x									x									
	Mid State Bancshares			x										x									x									
	Metlife Trust		x											x								x										

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SCHEDULE IV — TRANSACTIONS

Name Lois G. Capps

Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
	Putnam Calif Tax Exempt Fund		x		02-12-01	x									
	Putnam International Growth Fund		x		11-15-01		x								

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Name Lois Capps | **Page** 6 **of** 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Aspen Institute	Mar 9-11	Wash DC-Greenbrier-DC	y	y	n	n
	Federation of Indian Industries	Jan 6-15	DC-New Delhi-Hyderabad-New Delhi-DC	y	y	n	n

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
MC 2002 MAY -9 AM 9:21 (9)
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Michael Everett Capuano (Full Name)
172 Central St.
Somerville, MA. 62145 (Mailing Address)

1-202-225-5111 or
1-617-621-6208
Daytime Telephone

Filer Status ☒ Member of the U.S. House of Representatives State: MA. District: 8th ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael E. Capuano	4-30-02

Name Michael E. Capuano | Page 1 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
Yoshida, Croyle + Sokolski, PC Burlington, MA 01803	Spouse Salary	NA
Sole Practioner - Accountant, Somerville, MA 02145	Spouse Salary	NA
CT+M, LLC - Somerville, MA 02144	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Michael E. Capuano **Page** 2 **of** 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
NOT APPLICABLE			

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Name Michael E. Capuano | **Page** 3 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	172 Central St, Somerville, MA							X							X					Residential 27% rental						X						
JT	Hidden Valley, Tuftonboro, NH						X								X					Res-2nd home Sporadically rented						X						
JT	E Camb. Sav. BK, Camb. MA			X												X				Money Mkt + Ckg Acct			X									
JT	Som School Emp FCU, Somerville MA					X										X				CD + Saving Acct					X							
JT	Walt Disney Hldg. Co Stk.		X											X						Stock		X										
	Nationwide Deferral Pen Plan				X															Deferred Comp.	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael E. Capuano

Page 4 of 8

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Congress Fed CU - DC			X												X				Ckg + Saving acct		X										
SP	Transamerica 401K PLAN					X														401K												
SP	Fleet Bank - IRA			X																IRA												
SP	CT+M, LLC Somerville, MA						X									X				Member of LLC		X										
DC	PAX World - Mutual Fund				X									X						mutual FUND			X									
DC	Winter Hill Bk - Som MA			X												X				Cert of Dep		X										
DC	Northwest Mutual Fund			X												X				Whole life Policy		X										
	Federal Thrift PLAN			X																Def Comp - Fed Gov't												
JT	WinterHill Bank - Som MA					X										X				Cert of Dep.		X										

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SCHEDULE IV — TRANSACTIONS

Name Michael E. Capuano

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	NONE														

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Name Michael E Capuano | Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				x						
JT	Bank of America, Getzville, NY	Mtg on Hidden Valley, Taftonboro NH			X							
JT	Century BK, Medford, MA.	Mtg on 172 Central St, Som MA.					X					
SP	WinterHill Sav BK. Somerville, MA.	Mtg Loan - 1/6 Liable - Joint + severable on Note			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE	

Use additional sheets if more space is required.

Name Michael E. Capuano **Page** 7 **of** 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Invest to Compete Alliance	July 5-6	Boston, MA – CAPE COD, MA – BOSTON, MA	Y	Y	Y	N
	National Chamber Foundation	July 20-21	Wash, DC – Virginia – Wash DC	Y	Y	Y	N

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Name Michael E Capuano	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	— NONE —

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	— None —	

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 20
For use by Members, officers, and employees

HAND DELIVERED
(20)
LEGISLATIVE RESOURCE CENTER
2002 MAY 10 PM 12: 44
OFFICE OF THE CLERK
MC
(Office Use Only)

Benjamin L. Cardin
(Full Name)

9 Whitebridge Court Baltimore, MD 21208
(Mailing Address)

202-225-4016
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: MD District: 3rd	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Benjamin L. Cardin	5/10/02

SCHEDULE I - EARNED INCOME

Name Benjamin L. Cardin

Page 2 of 20

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Maryland	Legislative Pension	$4,303

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

Page 3 of 20

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Olin Corp. Common Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Time Warner Common Stock	None		NONE	E
Note 1	AOL Time Warner Common Stock	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	E
	BHC Com., Inc. Common Stock	None		NONE	E
Note 2	The News Corp. Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	E
	Niagara Mohawk Holding Co. Common Stock	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

	Primex Tech., Inc. Common Stock	None	CAPITAL GAINS	$2,501 - $5,000	S
JT	Smith Barney Acc't - following assets:	below		below	
JT	1. Prince Geo. Co., Md. Bond	$15,001 - $50,000	No income - zero coupon	NONE	
JT	2. Cash Management Acc't	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	same	same	INTEREST	$201 - $1,000	
SP	Northeast Utilities Common Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	A.T. & T. Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
Note 3	A.T. & T. Wireless Common Stock	$1,001 - $15,000		NONE	E
	Lucent Technology Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Israel Bonds	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Meyer M. Cardin Trust - Note 4	$250,001 - $500,000	INTEREST	$15,001 - $50,000	PS
	same	same	DIVIDENDS	$201 - $1,000	
	Venture BG Partnership c/o Howard Cardin; Balto., Md. See Note 5	$1 - $1,000	Net Income (K1)	$5,001 - $15,000	
	same	same	Cash Distributions	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

	same	same	INTEREST	$1 - $200	
	Keough - ABA Retirement Plan - Benjamin L. Cardin Retirement Plan	$500,001 - $1,000,000	N/A	NONE	
SP	Deferred Compensation Plan	$50,001 - $100,000	N/A	NONE	
SP	TIAA Cref Retirement Plan	$1,001 - $15,000	N/A	NONE	
Note 6	IRAs - Morgan Stanley includes following assets:	below		below	
	1. Israel Bonds	$50,001 - $100,000	N/A	NONE	
	2. Money Market Fund	$1,001 - $15,000	N/A	NONE	
	Congressional Credit Union	$1 - $1,000	INTEREST	$1 - $200	
	Benjamin L. Cardin Trust - Note 7	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	S
	same	same	INTEREST	$2,501 - $5,000	
	Union Pacific Railroad Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
Note 8	Pfizer Common Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Arch Chemical Common Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Gillette Co. Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

	Amerigas Partners, LP	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Met Life Co., Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	NCR Common Stock	$1 - $1,000		NONE	
	Zimmer Holding Inc. Common Stock - Note 9	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	E
SP	Maryland College Investment Plan - Note 10	$1,001 - $15,000	N/A	NONE	P
JT	Morgan Stanley Acc't including following assets:	below		below	
JT	1. Global Dividend Growth Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	2. Liberty Utility Fund A - Note 11	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	same	same	CAPITAL GAINS	$2,501 - $5,000	
JT	3. Putnam Global Growth Fund A	$15,001 - $50,000		NONE	
JT	4. AIM Value Fund B	$15,001 - $50,000	CAPITAL GAINS	$1 - $200	
JT	5. Cash Management Acc't	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	same	same	INTEREST	$1 - $200	
JT	6. Constellation Energy Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

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JT	7. Mid Atlantic Realty Trust	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Morgan Stanley Acc't including following assets:	below		below	
	1. Washington Suburban Sanitation Bonds	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	2. Howard Co., Md. Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	3. University of Maryland Bond	None	INTEREST	$1 - $200	S
	same	same	CAPITAL GAINS	$1 - $200	
	4. Bristol Myers Squibb Common Stock	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	S
	5. Anne Arundel Co., Md. Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	6. Seligman Bond Fund	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	same	same	DIVIDENDS	$1 - $200	
	same	same	CAPITAL GAINS	$1 - $200	
	7. Maryland Tax Free Bond Fund 76	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	8. Maryland State Bond	$15,001 - $50,000	INTEREST	$201 - $1,000	
	9. Smith Barney Intermediate Muncipal Bond Fund	$15,001 - $50,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

	same	same	DIVIDENDS	$1 - $200	
	10. Eaton Vance Muncipal Trust	$15,001 - $50,000	INTEREST	$1,001 - $2,500	P
	11. Maryland Tax Free Bond Trust 79	$1,001 - $15,000	INTEREST	$201 - $1,000	S
	12. Maryland Tax Free Bond Trust 84	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	13. Nuveen Maryland Premium Muncipal Fund	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	14. Delaware Group Dividend and Income Fund	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
	15. Putnam Funds for Growth and Income A & B	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	P
	same	same	CAPITAL GAINS	$1,001 - $2,500	
	16. AIM Fund	None		NONE	S
	17. Cash Management Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	18. Liberty Utility Fund A - Note 12	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
	same	same	CAPITAL GAINS	$5,001 - $15,000	
	19. Morgan Stanley Select Muncipal Fund	$1,001 - $15,000	INTEREST	$201 - $1,000	
	20. Maryland DOT Bond	$15,001 - $50,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin L. Cardin

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	21. Morgan Stanley American Opportunity Fund	$50,001 - $100,000	DIVIDENDS	$1 - $200	P
	same	same	CAPITAL GAINS	$1,001 - $2,500	
	22. Maryland Health and Higher Education Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	23. Washington Metro Bond	$1,001 - $15,000	INTEREST	$201 - $1,000	
	24. Mid Cap Equity Fund	$1,001 - $15,000		NONE	

SCHEDULE IV - TRANSACTIONS

Name Benjamin L. Cardin

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	AOL Time Warner Common Stock Note 1 (Merger with Time Warner Common Stock)	E	1/11/01	$1,001 - $15,000
	The News Corp. Common Stock (merged with BHC Com., Inc. Common Stock)	E	8/16/01	$1,001 - $15,000
	Primex Tech., Inc. Common Stock	S	3/19/01	$1,001 - $15,000
	A.T. & T. Wireless Common Stock (received from A.T. & T. Corp)	E	7/9/01	$1,001 - $15,000
JT	Meyer M. Cardin Trust - see Note 4 for details	PS	see Note 4	see Note 4
	Benjamin L. Cardin Trust - see Note 7 for details	S	see Note 7	see Note 7
	Union Pacific Railroad Common Stock	P	5/29/01	$1,001 - $15,000
	Zimmer Holding Inc. Common Stock (received from Bristol Myers Squibb)	E	8/6/01	$1,001 - $15,000
SP	Maryland College Investment Plan Note 10	P	12/17/01	$1,001 - $15,000
	Liberty Utility Fund A - Note 12	P	12/11/01 - Note 13	$1,001 - $15,000
	University of Maryland Bond	S	redeemed 2/1/01	$1,001 - $15,000
	Bristol Myers Squibb Common Stock	S	12/27/01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Benjamin L. Cardin

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Eaton Vance Muncipal Trust	P	monthly - Note 13	$1,001 - $15,000
	Maryland Tax Free Bond Trust 79	S	Return of Principle - 2/15/01; 4/15/01; 8/15/01	$1,001 - $15,000
	Putnam Funds for Growth and Income A & B	P	12/17/01 - Note 13	$1,001 - $15,000
	AIM Fund	S	11/21/01	$15,001 - $50,000
JT	Liberty Utility Fund A - Note 11	P	12/11/01 - Note 13	$1,001 - $15,000
	Morgan Stanley American Opportunity Fund	P	6/22/01 - Note 13	$1,001 - $15,000

Name Benjamin L. Cardin

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SCHEDULE V - LIABILITIES

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	**Creditor**	**Type of Liability**	**Amount of Liability**
	See Note 5 for Liabilities of Venture BG Partnership	see Note 5	see Note 5

SCHEDULE VIII - POSITIONS

Name Benjamin L. Cardin

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Menorah Lodge #771; B'nai B'rith; Baltimore, Maryland
Board of Visitors	University of Maryland Law School; Baltimore, Maryland
Technical Review Committee	Md. Psychiatric Research Center; Baltimore, Maryland
Board of Advisors	Baltimore Zionist District; Baltimore, Maryland
Member	President's Advisory Board; University of Maryland, Baltimore County
Advisory Committee	Lawyer's Campaign Against Hunger; Baltimore, Maryland
Partner	Partnerships listed in PARTS II & III - Venture BG Partnership
Member	Chancellor's Advisory Council; University System of Maryland; College Park, Maryland (term ended 9/7/01)
Board of Trustees	Baltimore Council on Foreign Affairs; Baltimore, Maryland
Board Member	The Jewish Arbitration and Mediation Board; Baltimore, Maryland
Trustee	Irrevocable Trusts created by Roger Lipitz c/o Stan Klinefelter, Piper Rudick Attorneys; Baltimore, Maryland
Trustee	Irrevocable Trust created by Lawrence M. Katz; c/o Piper Rudick Attorneys, Baltimore, Maryland

SCHEDULE VIII - POSITIONS

Name Benjamin L. Cardin	Page 14 of 20

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Goucher College, Towson, Maryland
Executive Committee	Israel Bonds of Maryland
Advisory Board	The Center for Democracy and The Interpretation of Civil Society; St. Mary's College; St. Mary's, Maryland

SCHEDULE IX - AGREEMENTS

Name Benjamin L. Cardin

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Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1/2/87 (retired)	Filer and the State of Maryland	As a "retiree" from State service, I receive pension benefits (reported in Part I) and the right to participate in health insurance with the employer subsidizing some of the cost.

FOOTNOTES

Name Benjamin L. Cardin

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III & IV	Received in merger with Time Warner 1/11/01; 277 shares in name of filer and 136 shares held jointly	AOL Time Warner Stock
2	Schedule III	Received in merger with BHC Communications on 8/16/01	The News Corp. Common Stock
3	Schedule III	Received as distribution from A.T. & T. On 7/9/01	A.T. & T. Wireless Common Stock

FOOTNOTES

Name Benjamin L. Cardin

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Number	Section / Schedule	Footnote	This note refers to the following item
4	Schedule III & IV	A trust established by filer's father for the benefit of filer and spouse during their lieftime with remainderman interest to filer's children. The trust held the following reportable Assets and had the following reportable Transactions in 2001: (1) Federal Home Loan Notes, Value of Asset, Category "D" $15,001 - $50,000; Income - interest Category "iv" $1001 - $2500; capital gains, Category "iv" $1001 - $2500; Transaction: S Return of Principal, Category "C" $15,001 - $50,000; (2) Fannie Mae Note, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iv" $1001 - $2500; Transaction S Return of Principal, Category "B" $1001 - $15,000; (3) Prince George's Co., Md. Bonds, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iv" $1001 - $2500; (4) Baltimore, Md. Bonds, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Caetgory "iii" $201 - $1000; (5) Baltimore County, Md. Bonds, Value of Asset, Category "E" $50,001 - $100,000; Income - interest, Category "v' $2501 - $5000; (6) Maryland State Higher Ed. & Health Bonds, Value of Asset, Category "E" $50,001 - $100,000; Income - interest, Category "v" $2501 - $5000; Transaction P 12/6/01, Category "B" $1001 - $15,000; (7) Md. Stadium Bond, Value of Asset, Category "C" $1001 - $15,000; Income - interest, Category "iii" $201 - $1000;(8) Howard Co., Md. Bond, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iii" $201 - $1000; (9) Washington Metro Area Transit Bond, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iv" $1001 - $2500; (10) Md. State Bonds, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iv" $1001 - $2500; (11) Md. State Local Facilities Bond, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iii" $201 - $1000; (12) Washington Co., Md. Bond, Value of Asset, Category "C" $1001 - $15,000; Income - interest, Category "iii" $201 - $1000; (13) Md. State Industrial Bond, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iii" $201 - $1000; (14) Balto., Md. Wastewater Bond, Value of	Meyer M. Cardin Trust

FOOTNOTES

Name Benjamin L. Cardin

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Number	Section / Schedule	Footnote	This note refers to the following item
		Asset, Category "D" $15,001 - $15,000; Income - interest, Category "iv" $1001 - $2500; (15) University of Md. Bond, Value of Asset, Category "C" $1001 - $15,000; Income - interest, Category "iii" $201 - $1000; (16) Md. State Community Dev. Bond, Value of Asset, Category "C" $1001 - $15,000; Income - interest, Category "iii" $201 - $1000; (17) Montgomery Co., Md. Bond, Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "iii" $201 - $1000; Transaction P 2/14/01, Category "C" $15,001 - $50,000 and (18) U.S. Government Money Market Fund, Value of Asset, Category "C" $1001 - $15,000; Income - interest, Category "iii" $201 - $1000; Transaction P/S cash management account for investments listed above.	
5	Schedule III & V	Venture BG is a partnership that holds the land at 3601 Washington Blvd., Balto., Md.. The property is leased to Nash Finch. The filer owns a 2% interest. The evaluation is based on negative capital account. If value was based on recent appraisal of assets less mortgage, Value of Asset would be Category "F" $100,001 - $250,000. Income reflected on Part III represents "net income" on K1 form and "distributions" represents actual cash distributions received in 2001. The Asset of the partnership is as follows: 3601 Washington Blvd., Balto., Md., Value of Asset, Category "J" $5,000,001 - $25,000,000; Income - rent, Category "x" $1,000,001 - $5,000,000; interest, Category "iv" $1001 - $2500. The Liabilities of the partnership include GMAC Commercial Mortgage (acquired from Mellon Mortgage Co.), Horsham, Pa., mortgage on 3601 Washington Blvd., Balto., Md., Amount of Liability, Category "I" $5,000,001 - $25,000,000.	Venture BG Partnership
6	Schedule III	Includes IRAs for filer and spouse	IRAs

FOOTNOTES

Name Benjamin L. Cardin

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Number	Section / Schedule	Footnote	This note refers to the following Item
7	Schedule III & IV	A trust established by filer on June 29, 1990 for the benefit of spouse during her lifetime with remainderman interest to filer's children. The trust held the following reportable Assets and had the following reportable Transactions in 2001: (1) Primissory Note from B. Green & Co., Inc. Balto., Md., Value of Asset, Category "D" $15,001 - $50,000; Income - interest, Category "v" $2501 - $5000, capital gains, Category "vii" $15,001 - $50,000; Transaction: S note payment of principal, 2/5/01, Category "C" $15,001 - $50,000 and (2) Morgan Stanley Dean Witter Cash Mangement Account, Value of Asset, Category "C" $1001 - $15,000; Income - dividend, Category "iv" $1001 - $2500. In addition the trust purchased life insurance in March, 1991.	Benjamin L. Cardin Trust
8	Schedule III	Stock owned by filer (50%) and jointly with spouse (50%)	Pfizer Common Stock
9	Schedule III	Received as distribution from Bristol Myers Squibb on 8/6/01	Zimmer Holding Inc. Common Stock
10	Schedule III & IV	Set up for benefit of granddaughter	Maryland College Investment Plan
11	Schedule III & IV	Fund changed from B to A 11/16/01	Liberty Utility Fund A (JT)
12	Schedule III & IV	Fund changed from B to A 2/16/01, 4/17/01, and 5/16/01	Liberty Utility Fund A
13	Schedule IV	Purchases made automaically through dividend and/or distribution reinvestment program with company	Morgan Stanley American Opportunity Fund
13	Schedule IV	same	Liberty Utility Fund A
13	Schedule IV	same	Eaton Vance Muncipal Trust

Name Benjamin L. Cardin

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FOOTNOTES

Number	Section / Schedule	Footnote	This note refers to the following item
13	Schedule IV	same	Putnam Funds for Growth and Income A & B
13	Schedule IV	same	Liberty Utiltity Fund A (JT)

HAND DELIVERED
(7)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Brad Rogers Carson (Congressman)
(Full Name)

317 Cannon Building, Washington, D.C. 20515
(Mailing Address)

202-225-2701
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives State: OK District: 02	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐		VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒		VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐		VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒		IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒ No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15, 2002

Name CongressmanB Brad Carson **Page** 2 **of** 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	MCI Worldcom, Owasso, OK	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Congressman Brad Carson

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BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Bank One				X											X							X									
	Tulsa Federal Credit Union			X												X						X										
	Community America Credit Union			X												X							X									
	Williams Employees Credit Union			X												X							X									
	Vanguard 500 Index Fund			X										X								X										
	Vanguard 500 Index IRA			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Congressman Brad Carson

Page 4 of 7

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	BOK IRA CD			X												X						X										
	BOK IRA CD			X												X						X										
	Crowe-Dunlevy 401 (k)			X										X									X									

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Name Congressman Brad Carson | Page 5 of 7

SCHEDULE V — LIABILITIES

Report **liabilities** of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Oklahoma Student Loan Authority	Student Loans	X									
	Bank One, OK, NA	Line of Credit			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name Congressman Brad Carson **Page** 6 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	N/A

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1/19/99	Crowe-Dunleavy, P.C.	Maintenance of 401 (K)

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

Name Congressman Brad Carson

Page 7 **of** 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Commonwealth Fund/John F. ~~Kennedy School of Government~~	Jan 11-14 2001	Wash DC--Miami and RETURN	Y	Y	Y	N
	American Israel Education Fund	Aug 26-Sept. 2, 2001	Tulsa-NY-Israel and RETURN	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

⑨

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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Julia M. Carson
(Full Name)

2530N PARK AVE
(Mailing Address)

INDIANA POLIS IN 46205

202 225 4011
317 9267696
Daytime Telephone

Filer Status	☒ Member of the U.S. House of Representatives	State: IND District: 10	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ■
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☒	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Julia Carson	13 May 2002

Name	Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Cummins Engine Co., Inc	1,252.08	
	State of Indiana, Legislative Retirement	6,020.22	
	State of Indiana, Public Employees Retirement	4,593.08	

For payments to charity in lieu of honoraria, use Schedule II.

Name	Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source		Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
~~n/a~~				
Hayes For the Home		appearance	1-12-01	500^{00}

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page ___ of ___

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income							Amount of Income											Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	n/a																															

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SCHEDULE IV — TRANSACTIONS

Name

Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.			Type of Transaction			Date	Amount of Transaction									
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset															
SP	*Example:*	Mega Corporation Common Stock	X			10–12–01		X								
	n/a															

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Name

Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT		Creditor	Type of Liability	Amount of Liability									
				B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
		n/a											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

	Source	Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	n/a		

Use additional sheets if more space is required.

Name Julia Carson | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Republic of Taiwan		Jan 6-12	DC LAX–Taipei LAX	y	yes	N	N
Hope for the Heart		Jan 12	ATL – DC	y	Y	N	N
BOCCI Inv		Apr 8-13	DC	y	Y	N	N
CBC Policy & Leadership Inst		June 8-11	DC Charleston DC	y	Y	N	N
CBC. PAC.		Aug 23-26	DC Memphis DC	y	Y	N	N

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Name	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	n/a

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

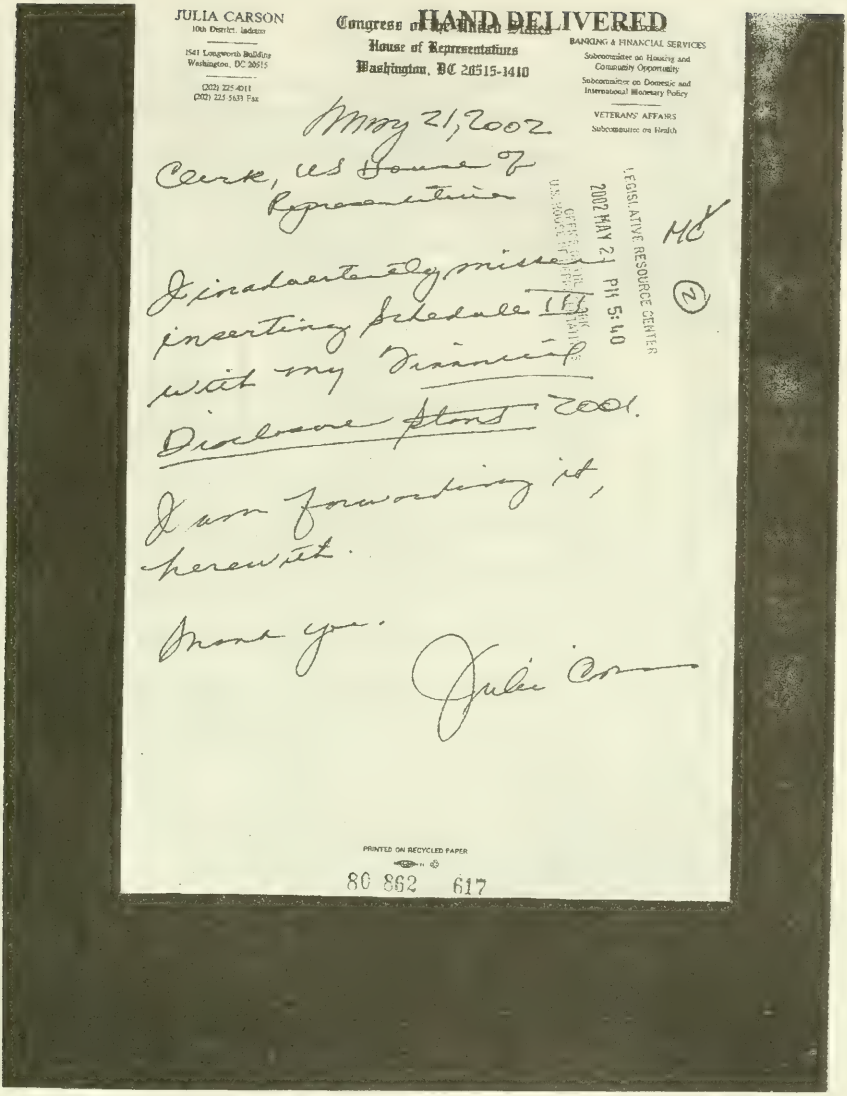
BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	*Examples:*	SP	Mega Corp Stock					X								X										X								P
DC,			Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						

For additional assets and unearned income, use next page.



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JULIA CARSON
10th District, Indiana

1541 Longworth Building
Washington, DC 20515

(202) 225-4011
(202) 225-5633 Fax

Congress of the United States
House of Representatives
Washington, DC 20515-1410

BANKING & FINANCIAL SERVICES
Subcommittee on Housing and Community Opportunity
Subcommittee on Domestic and International Monetary Policy

VETERANS' AFFAIRS
Subcommittee on Health

May 21, 2002

Clerk, US House of Representatives

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MC ✓

②

I inadvertently missed inserting Schedule III with my Financial Disclosure Stmt 2001.

I am forwarding it, herewith.

Thank you.

Julia Carson

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Julia Carson

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

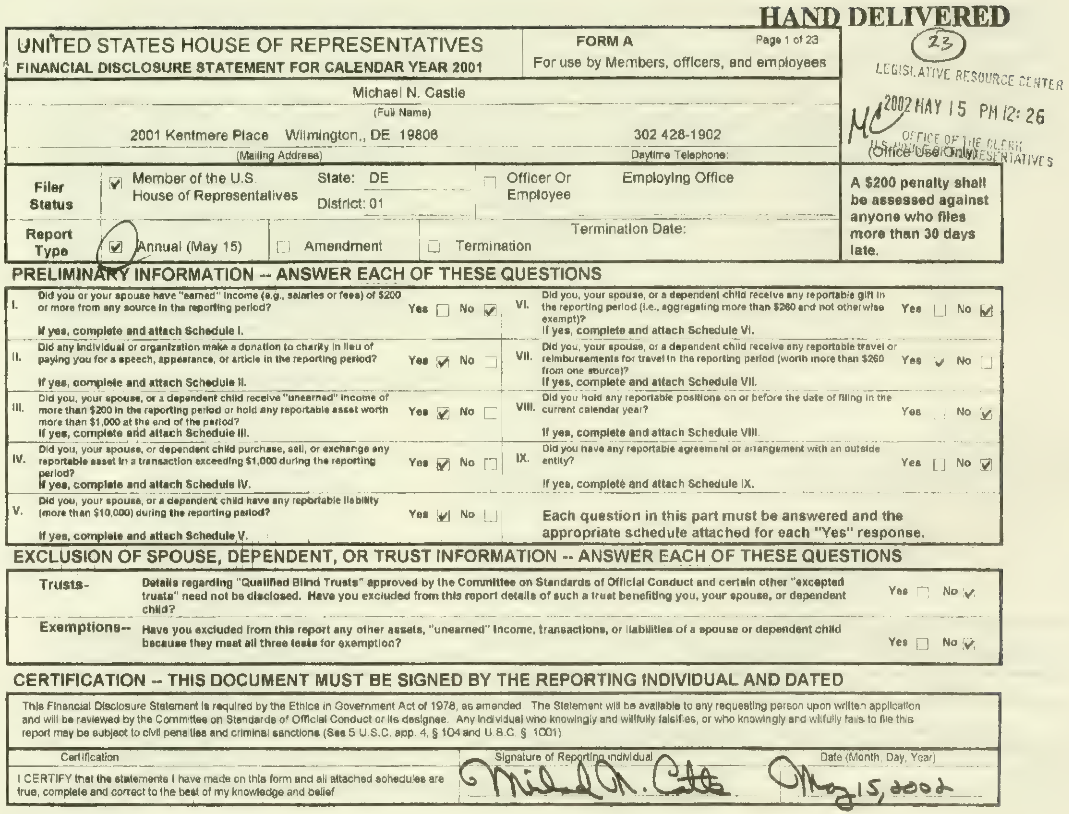
BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	B: A None	B: B $1 – $1,000	B: C $1,001 – $15,000	B: D $15,001 – $50,000	B: E $50,001 – $100,000	B: F $100,001 – $250,000	B: G $250,001 – $500,000	B: H $500,001 – $1,000,000	B: I $1,000,001 – $5,000,000	B: J $5,000,001 – $25,000,000	B: K $25,000,001 – $50,000,000	B: L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	D: I None	D: II $1 – $200	D: III $201 – $1,000	D: IV $1,001 – $2,500	D: V $2,501 – $5,000	D: VI $5,001 – $15,000	D: VII $15,001 – $50,000	D: VIII $50,001 – $100,000	D: IX $100,001 – $1,000,000	D: X $1,000,001 – $5,000,000	D: XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Keybank			X												X																
	Cummins			X												X																

For additional assets and unearned income, use next page.



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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — For use by Members, officers, and employees — Page 1 of 23

Michael N. Castle
(Full Name)

2001 Kentmere Place Wilmington,, DE 19806
(Mailing Address)

302 428-1902
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: DE District: 01	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ✓ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ✓
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ✓

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael N. Castle	May 15, 2002

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Michael N. Castle

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List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Education Testing Service and Education Commission of the States	Speech	October 9, 2001	$2,000 to United Way of Delaware

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

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	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	14 George Street, Dewey Beach, DE (Note: for the above, gross rental only and does not reflect expenses)	$250,001 - $500,000	RENT	$15,001 - $50,000	NA
	224A Justice Court, Washington, DC Note: for the above, gross rental only and does not reflect expenses	$50,001 - $100,000	RENT	$5,001 - $15,000	NA
	Ninth Street Partnership, owning offices @ 300 - 322 W. Ninth Street, Wilmington, DE 16.67% interest (Partnership, Inc.) gross rental income Note: for the above, gross rentals only and does not reflect expenses	$100,001 - $250,000	RENT	$15,001 - $50,000	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

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	Carlyle Real Estate LP	None	Recaptured depreciation	$1,001 - $2,500	S
	Vanguard Money Market Reserve Prime Portfolio	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	PS
	Live Oak General Money Market Fund (#1)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	PS
	Live Oak General Money market Fund (2)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	PS
	Brandywine Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	P
	Caldwell & Orkin Market Oppor.	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	P
	Northern Technology Fund	None		NONE	S
	Dodge & Cox Balanced Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	P
	American Century Target 2015 Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
	American Century Target 2010 Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
	American Century Target 2025 Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
	Artisan Inter. Fund	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	Cohen & Steers Realty	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	P
	FBR Financial Services Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

	Janus Overseas Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Marsico Focus Fund	$15,001 - $50,000	CAPITAL GAINS	$1 - $200	P
	Weitz Partners Value Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	P
	Vanguard Inter-Term Tax Exempt Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	P
	Vanguard European Stock Index Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Vanguard Health Care Fund	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	P
	Vanguard Tax Managed Growth and Income Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	American Home Products Corp.	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	American Power Conversion Corp	$1 - $1,000		NONE	
	Celeritex Inc.	None		NONE	S
	Qwest Communicatios Inter. Inc.	None	DIVIDENDS	$1 - $200	S
	Nortel Networks Corp.	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	S (partial)
	Motorola Inc.	None	DIVIDENDS	$201 - $1,000	S
	Palm, Inc.	None		NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

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	3 Com Corp.	None		NONE	S
	Freemarkets Inc.	$1,001 - $15,000		NONE	
	General Motors Corp. CLH	$1,001 - $15,000		NONE	
	Grant Prideco Inc.	$1,001 - $15,000		NONE	
	Gemstar TV Guide	$15,001 - $50,000		NONE	
	Liberty Media Corp.	$1,001 - $15,000		NONE	
	Weatherford Inter., Inc.	$15,001 - $50,000		NONE	
	Amgen, Inc.	$15,001 - $50,000		NONE	
	Sun Microsystems, Inc.	$1,001 - $15,000		NONE	
	DE General Obligation due 5-1-04 2000 Coupon	$1,001 - $15,000	INTEREST	$201 - $1,000	
	DE General Obligation due 5-1-03 Zero Coupon	$15,001 - $50,000	INTEREST	$201 - $1,000	
	PR Electric Power due 7-1-17 Zero Coupon	$1,001 - $15,000	INTEREST	$201 - $1,000	
	DE State Economic Development Author. Due 5-1-07	$1,001 - $15,000	INTEREST	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	DE EDA Hospital Revenue Riverside Zero Coupon due 1-1-06	$1,001 - $15,000	INTEREST	$201 - $1,000	
	DE General Obligationj due 5-1-02 Zero Coupon	$1,001 - $15,000	INTEREST	$201 - $1,000	
	DE General Obligation due 5-1-05 Zero Coupon	$1,001 - $15,000	INTEREST	$201 - $1,000	
	PR Electric Power Due 7-1-01	None	DIVIDENDS	$201 - $1,000	S
	Ariba Inc. (IRA)	$1,001 - $15,000		NONE	
	AOL Time Warner (IRA)	$1,001 - $15,000		NONE	
	BCE Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Cisco Systems (IRA)	$1,001 - $15,000		NONE	
	EMC Corp. (IRA)	$1,001 - $15,000		NONE	
	Equity Office Prop. (IRA)	$15,001 - $50,000		NONE	P
	Flextronics International (IRA)	$1,001 - $15,000		NONE	
	Intel Corp. (IRA)	$50,001 - $100,000	DIVIDENDS	$1 - $200	S (partial)
	Kimco Realty Corp. (IRA)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Nortel Networks (IRA)	$1,001 - $15,000		NONE	S (partial)

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	Oracle Corp (IRA)	$15,001 - $50,000		NONE	
	Plum Creek Timber (IRA)	$15,001 - $50,000		NONE	P
	Pfizer Inc. (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Valero Energy (IRA)	$15,001 - $50,000		NONE	
	Hewlett Packard Co. (IRA)	None		NONE	S
	Lucent Technologies (IRA)	None		NONE	S
	Motorola Inc. (IRA)	None		NONE	S
	Internet Port. 2000 Series A (IRA)	None		NONE	S
	Merrill Lynch Growth Fund (IRA)	None		NONE	S
	Qwest Communications (IRA)	None		NONE	S
	Xilinx Inc. (IRA)	None		NONE	S
	LSI Logic Corp. (IRA)	None		NONE	S
	Disney (Walt) (IRA)	None	DIVIDENDS	$1 - $200	S
	Agilent Technologies (IRA)	None	CAPITAL GAINS	$1 - $200	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	Fidelity Retirement Market	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	PS
	Babson Growth	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
	Fidelity Select Biotech	$15,001 - $50,000		NONE	
	Fidelity Select Technology	$1,001 - $15,000		NONE	
	Fidelity Divers Intl.	$15,001 - $50,000		NONE	
	Fidelity Equity Inc.II	$50,001 - $100,000		NONE	
	Vanguard Inst. Index	$50,001 - $100,000		NONE	
	Flextronics Intl. Ltd.	$1,001 - $15,000		NONE	
	Cortex Pharmaceuticals	$1,001 - $15,000		NONE	
	Electric Fuel Corp.	$1 - $1,000		NONE	
SP	Morgan Stanley Liquid Asset Fund (IRA) -- Dean Witter last year	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Morgan Stanley Pacific Growth Fund (IRA) -- Dean Witter last year	$1,001 - $15,000		NONE	
SP	Morgan Stanley European Growth Fund (IRA) -- Dean Witter last year	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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SP	Morgan Stanley American Oppor. (IRA) -- Dean Witter last year	$1,001 - $15,000		NONE	
SP	Morgan Stanley Growth Securities (IRA) -- Dean Witter last year	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Alger Mid Cap Growth	$1,001 - $15,000		NONE	P
SP	Fidelity Divers Intl.	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Fidelity Equity Inc. II	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	MSI Sm. Co. Growth B	$1,001 - $15,000		NONE	P
SP	Fid. Mgd. Inc. Port	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	T. Rowe Price Growth & Inc.	None		$1 - $200	PS
SP	T. Rowe Price Inter. Stock	None		NONE	S
SP	T. Rowe Price New Amer. Growth	None		NONE	S
SP	T. Rowe Price New Horizons	None		NONE	S
SP	T. Rowe Price Stable Value Fund	None		$1 - $200	PS
	State of Delaware Pension (entitled but not received)	None	DIVIDENDS	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

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	Manulife Financial Venture Vision Annuity	$100,001 - $250,000		NONE	
	T. Rowe Price Variable Annuity	$100,001 - $250,000		NONE	
	Trust U/A 8-25-41, James M. Castle Trust #1, 16.66% (changed from 11.11% due to death of sibling). Allocable share of trust income per K-1	N/A	DIVIDENDS	$201 - $1,000	
	All income is shown in allocable shares of the trust and not per individual entry	N/A	N/A/	N/A	
	JMC Trust #1 First Union Money Market	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #1 Evergreen Income Plus Fund	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #1 Evergreen Stock Selector Fund	$15,001 - $50,000	As noted above	As noted above	
	Trust U/A 1-21-53 James M. Castle Trust #3, 16.66% interest (changed from 11.11% due to death of sibling). Allocable share of trust income per K-1	N/A	DIVIDENDS	$2,501 - $5,000	
	All income is shown in allocable share of the trust and not per individual entry	N/A	N/A	N/A	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

	JMC Trust #3 First Union Money Market	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Evergreen Income Plus Fund	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 DuPont Co.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 GE Co.	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 Hercules, Inc.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Coca Cola Co.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Proctor & Gamble Co.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Ford Motor Co.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 J. C. Penney, Inc.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Intel Corp.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Motorola Inc.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 American Home Products	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 Bristol-Myers Squibb Co.	$1,001 - $15,000	As noted above	As noted above	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

	JMC Trust #3 Johnson & Johnson	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 BP PLC	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 El Paso Corp.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #3 Exxon Mobil	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 Qwest Communication	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 SBC Communication	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 Verizon Communication	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 Bank of New York Co.	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 JP Morgan Chase	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #3 Mellon Financial Corp.	$15,001 - $50,000	As noted above	As noted above	
	Trust U/A 1-4-46, James M. Castle Trust #2, 16.66% interest changed from 11.11% due to death of a sibling. Allocable shares of trust income per K-1	N/A	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

	All income is shown in allocable share of the trust and not per individual entry	N/A	N/A	N/A	
	JMC Trust #2 First Union Money Market	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Evergreen Income Plus Fund	$15,001 - $50,000	As noted above	As noted above	
	JMC Trust #2 General Electric Co.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Home Depot, Inc.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Abbot Labs	$50,001 - $100,000	As noted above	As noted above	
	JMC Trust #2 Britol Myers Squibb Co.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Exxon Mobil Corp.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Bank of New York	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Mellon Financial Corp.	$1,001 - $15,000	As noted above	As noted above	
	JMC Trust #2 Cisco Systems	$1 - $1,000	As noted above	As noted above	
	JMC Trust #2 Hewlett Packard Co.	$1 - $1,000	As noted above	As noted above	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

	James M. Castle, Jr. Trust 8-27-68 allocable share trust income per K-1	N/A	DIVIDENDS	$5,001 - $15,000	
	All income is shown in allocable share of the trust and not per individual entry	N/A	N/A	N/A	
	James M. Castle, Jr. Trust First Union Money Market	$15,001 - $50,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Delaware Trust Del. Munipal Bond Fund	$250,001 - $500,000	As noted above	As noted above	
	James M. Castle, Jr. Trust DuPont Co.	$1,001 - $15,000	As noted above	As noted above	
	James M. Castle, Jr. Trust General Electric Co.	$15,001 - $50,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Colgate Palmolive Co.	$15,001 - $50,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Abbot Labs	$15,001 - $50,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Cigna Corp.	$1,001 - $15,000	As noted above	As noted above	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Michael N. Castle

	James M. Castle, Jr. Trust Glaxo Smith Kline	$1,001 - $15,000	As noted above	As noted above	
	James M. Castle, Jr. Trust BP PLC	$1,001 - $15,000	As noted above	As noted above	
	James M. Castle, Jr. Trust 8-27-68 allocable share trust income per K-1 Chevron/Texaco Corp.	$1,001 - $15,000	As noted above	As noted above	
	James M. Castle, Jr Trust Potomac Electric	$1,001 - $15,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Western Reserve	$1,001 - $15,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Alltel Corp.	$15,001 - $50,000	As noted above	As noted above	
	James M. Castle, Jr. Trust Evergreen Stock Selector Fund	$100,001 - $250,000	As noted above	As noted above	
	Wilmington Trust Co.	$1,001 - $15,000	INTEREST	$201 - $1,000	PS

SCHEDULE IV - TRANSACTIONS

Name Michael N. Castle

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Vanguard Inter. - Term Tax Exempt Fund	P	1-3-01	$1,001 - $15,000
	Caldwell & Orkin Market Oppor. Fund	P	1-3-01	$1,001 - $15,000
	American Century Target 2025 Fund	P	1-4-01	$1,001 - $15,000
	American Power Conversion Corp.	P	1-9-01	$1,001 - $15,000
	Kimco Realty Corp (IRA)	P	1-19-01	$15,001 - $50,000
	AT&T Liberty Media	P	1-16-01	$1,001 - $15,000
	Freemarkets, Inc.	P	1-17-01	$1,001 - $15,000
	Equity Office Properties (IRA)	P	12-31-01	$15,001 - $50,000
	Kimco Realty Corp (IRA)	P	1-19-01	$15,001 - $50,000
	Plum Creek TimberCo Inc.(IRA)	P	12-31-01	$15,001 - $50,000
	Valero Energy Corp. (IRA)	P	12-31-01	$15,001 - $50,000
	AT&T Liberty Media	P	7-16-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Vanguard Inter. - Term Tax Exempt Fund	P	11-13-01	$1,001 - $15,000
	Vanguard Inter. - Term Tax Exempt Fund	P	monthly	$1,001 - $15,000
	Vanguard Health Care Fund	P	12-14-01	$1,001 - $15,000
	FBR Financial Services Fund	P	12-20-01	$1,001 - $15,000
	Qwest Communication	S	7-16-01 and 12-27-01	$1,001 - $15,000
	3 Com Corp	S	7-16-01	$1,001 - $15,000
	Palm Inc	S	6-12-01	$1,001 - $15,000
	Motorola Inc	S	1-17-01 and 6-15-01	$1,001 - $15,000
	Mortel Networks	S	11-19-01 and 6-15-01	$1,001 - $15,000
	Northern Technology Fund	S	4-3-01	$1,001 - $15,000
	Celeritek, Inc.	S	12-27-01	$1,001 - $15,000
	Qwest Communications (IRA)	S	12-31-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Xilinx Inc (IRA)	S	12-31-01	$1,001 - $15,000
	LSI Logic Corp (IRA)	S	12-31-01	$1,001 - $15,000
	Disney (Walt) Co. (IRA)	S	12-31-01	$1,001 - $15,000
	Agilent Technologies (IRA)	S	12-31-01	$1,001 - $15,000
	Puerto Rico Elec. Power due 7-1-01	S	6-29-01	$1,001 - $15,000
SP	T. Rowe Price (Growth & Income)	S	9-4-01	$15,001 - $50,000
SP	T. Rowe Price International Stock	S	9-4-01	$1,001 - $15,000
SP	T. Rowe Price New America Growth	S	9-4-01	$1,001 - $15,000
SP	T. Rowe Price New Horizons	S	9-4-01	$1,001 - $15,000
SP	T. Rowe Price Value Fund	S	9-4-01	$15,001 - $50,000
	Dodge & Cox Funds	P	quarterly	$1,001 - $15,000
	Caldwell & Orkin market Opportunity	P	12-4-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Michael N. Castle

Page 20 of 23

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Alger Mid Cap Growth	P	9-4-01	$1,001 - $15,000
SP	Fidelity Divers International	P	9-4-01	$1,001 - $15,000
SP	Fidelity Eq Inc. II	P	9-4-01	$15,001 - $50,000
SP	MSI Sun Co. Growth B	P	9-4-01	$1,001 - $15,000
SP	Fidelity Management Inc. Port	P	9-4-01	$15,001 - $50,000
	Hewlet Packard Co. (IRA)	S	1-16-01	$1,001 - $15,000
	Intel Corp. (IRA)	S	1-16-01	$15,001 - $50,000
	Lucent Technologies Inc. (IRA)	S	1-16-01	$1,001 - $15,000
	Motorola Inc. (IRA)	S	1-16-01	$1,001 - $15,000
	Mortel Networks (IRA)	S	1-16-01	$15,001 - $50,000
	Internet Port. 2000 Ser A (IRA)	S	1-16-01	$1,001 - $15,000
	Merrill Lynch Growth Fund CLO (IRA)	S	1-16-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Michael N. Castle

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Nortel Networks	S	1-16-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Michael N. Castle

Page 22 of 23

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Wilmington Trust Company	26.67% of mortgage of 300 - 322 West Ninth Street, Wilmington, DE	$100,001 - $250,000
	Wilmington Trust Company	224A Justice Court, Washington, DC	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Michael N. Castle

Page 23 of 23

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute Education Conference	Feb. 15 - 21	Philadelphia, PA - St. Petersburg, FL	Y	Y	Y	2 days
National Parks Conservation Association	August 8 - 15	Philadelphia, PA - Alaska	Y	Y	Y	1 day
Republican Main Street Partnership	April 16 - 19	Philadelphia, PA - San Francisco, CA	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(9)

LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES

HC

(Office Use Only)

STEVEN J. CHABOT
(Full Name)

3014 HARRISON AVE.
CINCINNATI, OHIO 45211
(Mailing Address)

Daytime Telephone: (513) 662-8000

Filer Status ☒ Member of the U.S. House of Representatives State: OHIO District: FIRST ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Steve J Chabot	4/20/02

Name STEVEN J. CHABOT Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$8,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

Name STEVEN J. CHABOT | Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name STEVEN J. CHABOT | Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	JANUS FUND				X																X											
	SELECTED AMERICAN SHARES FUND				X									X			X					X										
	VANGUARD 500 INDEX FUND				X									X								X										
	VANGUARD TOTAL MKT INDEX FUND				X									X								X										
	CHARLES SCHWAB + CO.		X																		X											
	APPLEBEES COMMON STOCK				X									X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name STEVEN J. CHABOT

Page ___ of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	CINTAS COMMON STOCK				X									X								X										
	COCA COLA COMMON STOCK			X										X									X									
	PEPSICO COMMON STOCK			X										X								X										
	DISNEY COMMON STOCK			X										X								X										
	GRADISON MONEY MARKET					X								X										X								
	PNC BANK ACCTS				X											X						X										
	CHEVIOT B+L CD				X											X								X								
	FIRSTAR BANK			X												X						X										
	WESTWOOD HOMESTEAD CD'S					X										X									X							
	BEACER FUND IRA				X									X																		
	COLUMBIA SPECIAL FUND IRA				X									X																		
	GATEWAY INDEX PLUS FUND IRA				X									X																		
	KAUFMANN FUND IRA				X									X																		
	DEFERRED COMP FUND OHIO PUBLIC EMPLOYEE'S						X																									
	OHIO PERS					X																										

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SCHEDULE IV — TRANSACTIONS

Name STEVEN J. CHABOT | Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	x			10-12-01		x								
	WENDYS COMMON STOCK		X		1/26/01	X									
	SARA LEE " "		X		1/26/01	X									
	INTERSTATE BAKERIES COMMON STOCK		X		1/26/01	X									
	CRACKER BARREL COMMON STOCK		X		1/26/01	X									
	TRICON COMMON STOCK		X		1/26/01	[illegible]									
	FOUNDERS BLUE CHIP FUND		X		1/26/01		X								
	AMERICAN CENTURY FUND		X		1/26/01		X								
	NEUBERGER + BERMAN GUARDIAN FUND		X		1/26/01		X								
	VANGUARD WELLINGTON FUND		X		1/29/01		X								
	VANGUARD 500 INDEX FUND	X			2/7/01		X								
	VANGUARD TOTAL MARKET FUND	X			2/7/01		X								

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Name STEVEN J. CHABOT | Page __ of __

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT		Creditor	Type of Liability	Amount of Liability									
				B $10,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
		NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

	Source	Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE		

Use additional sheets if more space is required.

Name STEVEN J CHABOT | Page __ of __

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
NONE							

This page may be copied if more space is required.

Name STEVEN J CHABOT	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
NONE	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
DEC 85-94 PAID INTO	OHIO PUBLIC EMPLOYEES RETIREMENT SYSTEM (PERS)	UPON RETIREMENT
MAY 90-DEC PAID INTO 94	" " " DEFERRED COMP.	AT AGE 55

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 1999

FORM A
For use by Members, officers, and employees

HAND DELIVERED

9

LEGISLATIVE RESOURCE CENTER
MC
2002 MAY 15 PM 1:03
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

DONNA MARIE CHRISTIAN-CHRISTENSEN
(Full Name)

1510 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(Mailing Address)

Daytime Telephone: 202-225-1790

Filer Status	☒ Member of the U.S. House of Representatives	State: VIRGIN ISLANDS District: AT LARGE	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		MAY 15.2002

DONNA M. CHRISTIAN-CHRISTENSEN
Name

Page 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned Income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
ARMED FORCES RETIREMENT PENSION	SPOUSE	N/A
SURVIVOR BENEFITS	SPOUSE	N/A

For payments to charity in lieu of honoraria, use Schedule II.

DONNA M. CHRISTIAN-CHRISTENSEN
Name

Page 3 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 1999	$2,000
XYZ Magazine	Article	Aug. 13, 1999	$500
NONE	N/A	N/A	N/A

This page may be copied if more space is required.

DONNA M. CHRISTIAN-CHRISTENSEN
Name

Page 4 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	OFFICE BUILDING 102 EST RICHMOND, V.I.							x							x												x					
	THREE (3) BEDROOM CONDO EST. QUESTA VERDE, V.I.					x									x											x						
	.197 acre – 40ED LaGrange P'sted, St. Croix, VI																								X							

For additional assets and unearned income, use next page.

DONNA M. CHRISTIAN-CHRISTENSEN
Name

Page 5 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT		Asset	Type of Transaction			Date	Amount of Transaction									
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:*	Mega Corporation Common Stock	X			10-12-99		X								
		NONE														

This page may be copied if more space is required.

DONNA M. CHRISTIAN-CHRISTENSEN Name	Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	V.I. COMMUNITY BANK, US VIRGIN ISLANDS	MORTGAGE: OFFICE BUILDING 102 EST RICHMOND, U.S.V.I.				x						
	V.I. COMMUNITY BANK, US VIRGIN ISLANDS	BUSINESS LOAN		x								
	CHASE MANHATTAN BANK, US VIRGIN ISLANDS	MORTGAGE: CONDO EST. QUESTA VERDE, U.S.V.I.			x							
	U.S TREASURY	TAXES		x								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 26, clause 5) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE	

Use additional sheets if more space is required.

DONNA M. CHRISTIAN-CHRISTENSEN Name	Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
MINORITY HEALTH PROFESSIONS FOUN	APRIL 10-12	ST. CROIX -AL-DC	Y	Y	N	N
NATIONAL CAUCUS ON BLACK AGED	JUNE 19-20	DC-FLORIDA -DC	Y	Y	N	N
CBC POLICY LEADERSHIP INSTITUE	JUNE 8-9	DC-SOUTH CAROLINA-DC	Y	Y	N	N
MORAVIAN COLLEGE	MAY 12	DC-PENNSYLVANIA_DC	Y	Y	N	N
GMAD	JUNE 14-15	DC - RHODE ISLAND-DC	Y	Y	N	N
TODO PUERTO RICO CON VIEQUES	JULY 13-16	DC-PUERTO RICO_DC	Y	Y	N	N

This page may be copied if more space is required.

DONNA M. CHRISTIAN-CHRISTENSEN Name	Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
VICE PRESIDENT	VIRGIN ISLANDS MEDICAL INSTITUTE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

Use additional sheets if more space is required.

HAND DELIVERED

⑦

LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page of

Rep. Wm. Lacy Clay
(Full Name)

6136 Washington Avenue St. Louis, MO 63112
(Mailing Address)

202-225-2406
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: MO District: 01	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Wm. Lacy Clay	05-14-02

SCHEDULE I - EARNED INCOME

Name Rep. Wm. Lacy Clay

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
St. Louis Development Corporation	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Rep. Wm. Lacy Clay

Page 3 of 7

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
American Family Coalition, Washington, D. C.	Selected as Parents of the Year	July 25, 2001	$1,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Rep. Wm. Lacy Clay

Page 4 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	First Community Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	St. Louis Dev. Corp. Employee Retirement Plan (General American)	$15,001 - $50,000		NA	
	State of MO Deferred Compensation Plan	$1,001 - $15,000		NONE	

SCHEDULE VI - GIFTS

Name Rep. Wm. Lacy Clay

Page 5 of 7

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Robinson Property Group, LP DBA Horseshoe Casino & Hotel 1021 Casino Center Drive Robinsonville, MS	Gambling winnings Offset of Gambling Losses (Deduction from Schedule A)	$2,025 $2,025

SCHEDULE VIII - POSITIONS

Name Rep. Wm. Lacy Clay

Page 6 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	William L. Clay Scholarship and Research Fund
Director	St. Louis Gateway Classic Sports Foundation
Director	Mary Ryder Homes - St. Louis
Director	St. Louis Regional Health Commission
Director	Congressional Black Caucus Foundation, Inc.

SCHEDULE IX - AGREEMENTS

Name Rep. Wm. Lacy Clay

Page 7 of 7

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
2/5/02	William Lacy Clay and Jeff Eisenberg and Associates	Affiliation is for the sole purpose of maintaining real estate license; no compensation is received and name is not used on letterhead or other materials

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

③ MAY 0 3 2002

LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES
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(Office Use Only)

EVA MCPHERSON CLAYTON
(Full Name)

59 RIVER ROAD, LITTLETON, NC 27850
(Mailing Address)

(202) 225-3101
(Daytime Telephone)

Filer Status ☒ Member of the U.S. House of Representatives — State: NC District: FIRST ☐ Officer or Employee — Employing Office:

Report Type [✓ ☒ Annual (May 15)] ☐ Amendment ☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Eva McPherson Clayton	MAY 3, 2002

Name EVA MCPHERSON CLAYTON Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	THEAOSEUS T. CLAYTON, P.A.	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name EVA MCPHERSON CLAYTON

Page 3 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	B: A None	B: B $1 – $1,000	B: C $1,001 – $15,000	B: D $15,001 – $50,000	B: E $50,001 – $100,000	B: F $100,001 – $250,000	B: G $250,001 – $500,000	B: H $500,001 – $1,000,000	B: I $1,000,001 – $5,000,000	B: J $5,000,001 – $25,000,000	B: K $25,000,001 – $50,000,000	B: L Over $50,000,000	C: DIVIDENDS	C: RENT	C: INTEREST	C: CAPITAL GAINS	C: EXCEPTED TRUST	C: QUALIFIED BLIND TRUST	C: Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	D: I None	D: II $1 – $200	D: III $201 – $1,000	D: IV $1,001 – $2,500	D: V $2,501 – $5,000	D: VI $5,001 – $15,000	D: VII $15,001 – $50,000	D: VIII $50,001 – $100,000	D: IX $100,001 – $1,000,000	D: X $1,000,001 – $5,000,000	D: XI Over $5,000,000	E: P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
Examples:	1st Bank of Paducah, KY accounts						X									X										X						
JT	307 W FRANKLIN ST WARRENTON, NC				X																											
	BB&T, WARRENTON, NC			X												X							X									

For additional assets and unearned income, use next page.

Name EVA MCPHERSON CLAYTON **Page** 4 **of** 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	FIRST CITIZENS BANK, WARRENTON, NC	MORTGAGE on 307 W Franklin Street, Warrenton, NC Property		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name EVA MCPHERSON CLAYTON	Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Chinese National Association of	Jan. 7-13	Wash., DC-San Francisco-				
	Industry and Commerce		Taiwan; Taiwan-Los Angeles; CA-Raleigh, NC	Y	Y	N	N
	AT&T/Microsoft/American	Mar 15-17	Raleigh, NC-San Jose, CA				
	Airlines		San Jose, CA-Raleigh, NC	Y	Y	N	N
	Botswana Confederation of	Apr 6-20	Raleigh, NC-New York-				
	Commerce, Industry and		Johannesburg-Gaborone;				
	Manpower		Gaborone-Johannesburg-Atlanta, GA-Raleigh NC	Y	Y	Y	N

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HAND DELIVERED

EVA M. CLAYTON
1ST DISTRICT, NORTH CAROLINA

COMMITTEES:
AGRICULTURE
SUBCOMMITTEES:
DEPARTMENT OPERATIONS, OVERSIGHT, NUTRITION, AND FORESTRY
RANKING MEMBER
GENERAL FARM COMMODITIES, RESOURCE CONSERVATION, AND CREDIT

BUDGET

Congress of the United States
House of Representatives
Washington, DC 20515–3301

WASHINGTON OFFICE:
2440 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(202) 225–3101
EClayton1@mail.house.gov

LEGISLATIVE RESOURCE CENTER
2002 JUN -3 AM 10: 03
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC ④

May 30, 2002

Honorable Jeff Trandahl, Clerk
Office of the Clerk
US House of Representatives
H154 Capitol
Washington DC 20515-6601

Dear Mr. Trandahl:

I respectfully ask for an opportunity to **amend Schedule VII, page 5 of my Financial Disclosure Statement** to reflect the true dates of travel to Botswana which presently show April 6th – 20th, but instead should reflect April 6th - April 15th.

For your ease in reference I am enclosing a copy of the Travel Disclosure Form that was previously submitted.

Thank you for your immediate attention to this matter and for your many past courtesies.

Sincerely,

Eva M. Clayton

Eva M. Clayton
Member of Congress

Representative Eva Clayton
Travel Disclosure Form Information
BOCCIM Congressional Delegation Trip

Name of Member: Representative Eva Clayton

Name of Accompanying Family Member: Joanne Clayton

Dates of Botswana Visit: April 9-12, 2001

Dates of Travel: April 6-7, April 14-15

Itinerary: See attached.

Sponsor: Botswana Confederation of Commerce, Industry, and Manpower

Purpose of Trip: Congressional fact-finding trip

Total Transportation Expenses for Member:	**$9,716.81**
Air transport to and from Botswana:	$8,798.21
Charter plane flights to and from Jwaneng:	$381.80
Charter plane flights to and from Kasane:	$381.80
Ground Transportation within Botswana:	$155.00
For accompanying family member:	**$9,716.81**
Air transport to and from Botswana:	$8,798.21
Charter plane flights to and from Jwaneng:	$381.80
Charter plane flights to and from Kasane:	$381.80
Ground Transportation within Botswana:	$155.00
Total Lodging Expenses for Member:	**$1,189.22**
Grand Palm Hotel	$1,071.22
Mowana	$118.00
For accompanying family member:	**$851.34**
Grand Palm Hotel:	$733.34
Mowana:	$118.00

Total Food Expenses for Member:	$350.00
For accompanying family member:	$350.00

Name EVA MCPHERSON CLAYTON	Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act [5 U.S.C. § 7342]; political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Chinese National Association of	Jan. 7–13	Wash., DC–San Francisco–				
	Industry and Commerce		Taiwan; Taiwan–Los Angeles, CA–Raleigh, NC	Y	Y	N	N
	AT&T/Microsoft/American	Mar 15–17	Raleigh, NC–San Jose, CA				
	Airlines		San Jose, CA–Raleigh, NC	Y	Y	N	N
	Botswana Confederation of	Apr 6–20	Raleigh, NC–New York–				
	Commerce, Industry and		Johannesburg–Gaborone;				
	Manpower		Gaborone–Johannesburg–Atlanta, GA–Raleigh NC	Y	Y	Y	N

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MAY 30 '02 04:21PM THEAOSEUS T CLAYTON

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

⑩
HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
MC 2002 MAY 15 PM 3:42
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Robert (Bob) N. Clement
(Full Name)

2229 Rayburn Building
Washington, DC 20515
(Mailing Address)

Daytime Telephone: (202) 225-4311

Filer Status	☒ Member of the U.S. House of Representatives State: District:	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert (Bob) N. Clement	05/15/02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Robert (Bob) N. Clement

Page 2 **of** ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah, KY account						X									X										X						
	Dickson Financial Corp Stock, Dickson, TN					X								X										X								
	RSC Inv Real Estate Holdings Hwy 46, Dickson, TN 18% partnership interest						X									X								X								
																				Partnership Income							X					

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert (Bob) N. Clement

Page 3 **of** ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Forrest Hills Development ~~Real Estate held for~~ Investment, Hwy 70, Dickson, TN, 13 1/3% partnership interest			X												X						X										
																	X						X									
	Maybelle G Clement Investments, ~~Dickson, TN; 2/9~~ partnership interest		X													X						X										
																	X					X										
	AMSouth Bank, Nashville, TN			X												X						X										
	Teachers Ins & Annuity ~~Assn. College Retirement~~ Fund:Regular/Supplemental						X																									
	State of TN Retirement					X																										
	Ridgeview Apts, Residential Rental, Rt. 2, ~~Jefferson City, TN, 25%~~ partnership interest				X										X												X					
																X							X									
	Plymouth Haven Church (Reliance Trust)	X														X							X									S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert (Bob) N. Clement

Page 4 of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Rental Property, 11212 Front Beach Rd., Windward #601, Panama City, FL														X												X					
	Note Receivable O.J. Gonzales	X														X									X							S
	First Union Bank, First Clearing (Evergreen MM) Alexandria, VA					X								X																		
	Bank of Nashville, Nashville, TN															X																
	Vanguard Securities Fund Prime Money Market							X						X												X						
	Wright Patman Credit Union Washington, DC			X												X							X									
	Health Care Products, Nashville, TN investment			X																	X											
DC	Prudential Equity Income Fund: Class A	X												X									X									S
	Premier Bank, Brentwood, TN Common Stock			X																	X											
	Vanguard International Value Fund				X									X									X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert (Bob) N. Clement

Page 5 of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Meager Means Investment Club, Arlington, VA, 4.76% Interest			X										X			X															
	Lehman Brothers, Sequoia Software Corp.	X												X																		S
	Wilson Bank & Trust IRA					X																										
	Note Receivable-Normandy Chateau/Steve Hall-2nd Mortgage					X															X											
	MERRILL LYNCH IRA'S:																															
	Pacific Funds Class B		X													X						X										
	Merrill Lynch CMA		X											X																		
SP	Pharmacia Corp.			X												X						X										
	LEGG MASON IRA'S:																															
	National Health Investors			X										X									X									
	Entrust Technologies			X																	X											
	First TN National			X										X								X										
	Franklin Financial Corp		X											X																		
	Keystone Automtoive Ind.			X																	X											
	Oracle Corp.			X																	X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Robert (Bob) N. Clement

Page 6 of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	LEGG MASON IRA'S: continued																															
	Rare Medium Group Inc		X																		X											
	Sun Microsystems Inc																				X											
	Xilinx Inc			X																	X											
	Eaton Van Prime		X											X								X										
	Morgan Stanley		X													X						X										
	Fedex		X																		X											
	Cash Reserves				X											X							X									
SP	Home Depot, Inc	X												X																		S
SP	Intel Corp			X										X																		
SP	Lucent Technologies																				X											
SP	Techne Corp		X																		X											P
SP	Rare Medium		X																		X											
SP	Cash Reserves		X													X							X									
	LEGG MASON:non-IRA's																															
SP	Franklin Nat'l Bank (Franklin Financial Corp.), Franklin, TN					X								X																		
SP	Legg Mason Cash Reserves Trust			X												X						X										
SP	Legg Mason Money Market			X										X																		

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert (Bob) N. Clement

Page 7 of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	MERRILL LYNCH:non-IRA's																															
DC	Ebay			X																	X											
DC	Global Santa Fe Corp*			X										X																		E
DC	Oracle Corp			X																	X											
DC	Pviser			X										X								X										
DC	Rare Medium Group		X																		X											
DC	Yahoo		X																		X											
DC	ML Banking Advantage													X								X										
DC	Broadcom			X																	X											
DC	Compact Computer			X										X																		
DC	Global Santa Fe Corp*			X										X																		E
DC	L.C.C. International			X																	X											
DC	Delaware Select Mutual			X																	X											
DC	ML Banking Advantage		X											X																		
DC	Home Depot	X																			X											S
DC	Xerox Corp			X																	X											P
	*Global Marine exchanged																															
	for																															
	Global Santa Fe Corp																															

11-21-01

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SCHEDULE IV — TRANSACTIONS

Name Robert (Bob) N. Clement

Page 8 of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	B $1,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	Home Depot		X		11-07-01	X									
SP	Techne Group	X			1-07-01	X									
DC	Home Depot		X		01-19-01	X									
DC	Prudential		X		11-19-01										
DC	Xerox	X			01-19-01	X									
	Lehman Bros-Sequoia Software		X		04-30-01	X									
	Plymouth Haven Church Bonds		X		12-06-01	X									
	Plymouth Haven Church Bonds		X		04-30-01	X									
	O.J. Gonzales		X		11-14-01	X									
DC	Global Marine			X	11-21-01	X									
DC	Global Marine			X	11-21-01	X									

This page may be copied if more space is required.

Name Robert (Bob) N. Clement **Page** 9 **of** ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Burlington Northern Santa Fe		Feb 22-23	Nashville-Flagstaff-Scottsdale, AZ	Y	Y	Y	N
Association American Railroads		Feb 23-25	Scottsdale, AZ-Wash.,D.C.	Y	Y	Y	N
The Aspen Institute		Mar 10-11	Wash.D.C.-White Sulphur Springs, W.VA.	Y	Y	Y	N
Recording Industry Association of America		April 26	Wash, D.C.-Nashville, TN	Y	Y	Y	N
Association American Railroads		July 5-9	Nash.,TN-Jackson Hole-D.C,	Y	Y	Y	1 day
Amtrak		July 13	Wash.D.C.-New York	N	N	Y	N
Amtrak		Oct 18-19	Wash.D.C.-New York-D.C.	N	N	N	N
Amtrak		Dec 19-20	Wash. D.C.-Chicago-Nash.,TN	N	Y	Y	N

This page may be copied if more space is required.

Name Robert (Bob) N. Clement	**Page** 10 **of** ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Ridgeview Apartments
Partner	RSC Investments
Partner	Forrest Hills Development
Partner	Maybelle C. Clement Investments
Board Member	Board of Trust, Cumberland University

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

HAND DELIVERED ⑧

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:00 HC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 8
For use by Members, officers, and employees

James E. Clyburn
(Full Name)

1703 Gervais Street Columbia, SC 29201
(Mailing Address)

803-799-1100
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: SC District: 6th	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	James E. Clyburn	5/16/02

SCHEDULE I - EARNED INCOME

Name James E. Clyburn

Page 2 of 8

List the source, type, and amount of earned Income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
South Carolina Retirement System (This income is not subject to the outside earned income limit	Retirement from the State of South Carolina	$54,700
U.S. Department of Veteran Affairs	Retirement Income	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name James E. Clyburn

Page 3 of 8

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Psi Omega Chapter of Omega Psi Phi Fraternity, Aiken, S.C.	Speech	Nov. 11, 2001	$150
Beta Tau Chapter/Omega Psi Phi Fraternity, Mullins, S.C.	Speech	Aug. 3, 2001	$150
St. Paul's Episcopal Church, Orangeburg, S.C.	Speech	Dec. 7, 2001	$250
New Ebenezer Baptist Church, Columbia, S.C.	Speech	July 1, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James E. Clyburn

Page 4 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Fort Jackson Federal Credit Union	$1 - $1,000	INTEREST	$1 - $200	
	South Carolina State Credit Union	$1 - $1,000	INTEREST	$1 - $200	
	Bank of America	$1,001 - $15,000	INTEREST	$1 - $200	
	SCANA Corporation	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
	Automated Data Processing	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Bank of America	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James E. Clybum

Page 5 of 8

	645-47 W. Liberty Street Sumter, SC (50% ownership)	$50,001 - $100,000	RENT	$2,501 - $5,000	
	Bank of America	$15,001 - $50,000	IRA	NONE	
	Merrill Lynch, Columbia, SC	$15,001 - $50,000	IRA	NONE	
	Wright-Patman Congressional Federal Credit Union	$1 - $1,000	INTEREST	$1 - $200	

SCHEDULE V - LIABILITIES

Name James E. Clyburn

Page 6 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Countrywide Funding, Van Nuys, CA	609 Santee Drive Santee, SC	$100,001 - $250,000
	NBSC Columbia, SC	Mortgage on 645-47 Liberty Street Sumter, SC (50% interest)	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name James E. Clyburn

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be seperately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Kentucky Commission on Human Rights	Jan 16-17	Columbia, S.C.-Louisville-Columbia, S.C.	Y	Y	N	N/A
Liberation Community Church	Feb. 11	Wash., D.C.-Memphis-Columbia, S.C.	Y	Y	N	N/A
Assoc. Of American Railroads	Feb. 23-26	Columbia, S.C.-Phoenix-Columbia, S.C.	Y	Y	Y	N/A
AT&T, American Airlines, Microsoft	Mar. 15-18	Wash., -San Jose-Columbia, S.C.	Y	Y	Y	N/A
IMPAC 2000	Mar. 30-31	Wash., D.C.-Columbia, S.C.-Wash., D.C.	Y	Y	N	N/A
Information Tech. Industry Council	April 26-29	Wash., D.C.-Dallas-Columbia, S.C.	Y	Y	N	N/A
British Petroleum Fuels	May 27-June 1	Columbia, S.C.-Manchester, England, Edinburgh, Scotland-New Orleans	Y	Y	Y	N/A
CBC Policy & Leadership Inst.	June 8-11	Columbia, S.C.-Charleston-Columbia, S.C.	Y	Y	Y	N/A
Assoc. Of American Railroads	July 6-9	Columbia, S.C.-Jackson Hole, WY-Columbia, S.C.	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name James E. Clyburn

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Allen University
Trustee	Brookgreen Gardens
Council Member	Jaguar Advisory Council on Diversity
Chairman	Black Press Institute Advisory Board
Board Member	CBC PAC
Board Member	CBC Political Education & Leadership Institute
Board Member	Palmetto Conservation Foundation

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 1:49
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

HC

(Office Use Only)

John Howard Coble
(Full Name)

5741-L Bramblegate Road Greensboro, NC 27409
(Mailing Address)

202 225.3065
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: NC District: 06	☐ Officer Or Employee — Employing Office:
Report Type	[✓ ☑ Annual (May 15)]	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, [illegible] amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Howard Coble	5-15-02

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name John Howard Coble

Page 2 of 11

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
National Grocers Association	Attended DC reception	April 4, 2001	$50 in food

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Howard Coble

Page 3 of 11

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Wal Mart Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Verizon Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	S
	America On Line Common Stock	$1 - $1,000	DIVIDENDS	NONE	
	AllState Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	Acxiom Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	Atmel Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Howard Coble

Page 4 of 11

	Boston Scientific Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	S
	Flextronics Intl. Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	S
	RF Micro Devices Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	Aim Constellation Mutual Fund	$50,001 - $100,000	DIVIDENDS	NONE	
	Davis NY Venture Mutual Fund	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	
	BB&T Balanced Mutual Fund	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	BB&T Growth & Income Fund	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	BB&T Savings Bank Savings Account	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Wright Patman FCU Savings Account	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
	First Union Bank Checking Account	$1,001 - $15,000	INTEREST	$201 - $1,000	
	First Citizens Bank Savings Account	$15,001 - $50,000	INTEREST	$201 - $1,000	
	Bank of America Checking Account	$1,001 - $15,000	INTEREST	$1 - $200	
	Bank of North Carolina Stock Certificate	$1,001 - $15,000	DIVIDENDS	NONE	
	Jefferson-Pilot Fixed Annity	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Howard Coble

	Jefferson-Pilot Variable Annuity #1	$15,001 - $50,000	DIVIDENDS	NONE	
	Jefferson-Pilot Variable Annuity #2	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Allmerica Insurance Annuity	$15,001 - $50,000	DIVIDENDS	NONE	
	MassMutual Insurance Annuity #1	$15,001 - $50,000	DIVIDENDS	NONE	
	MassMutual Insurance Annuity #2	$1,001 - $15,000	DIVIDENDS	NONE	
	Phoenix Home Life Insurance Annuity	$15,001 - $50,000	DIVIDENDS	NONE	
	State Employees Credit Union Savings Account	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Merrill Lynch Cash Management Account	$100,001 - $250,000	INTEREST	$201 - $1,000	
	Merrill Lynch IRA	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	House and one acre, Blowing Rock, NC	$50,001 - $100,000	N/A	N/A	S
	78 acre farm, Henry County, VA	$50,001 - $100,000	N/A	N/A	
	Lexington State Bank Certificate of Deposit	$1,001 - $15,000	INTEREST	$1 - $200	
	Sterling South Bank Stock Certificate	$1,001 - $15,000	DIVIDENDS	NONE	
	Van Kampen American Enterprise Fund	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Howard Coble

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	Van Kampen American Emerging Growth Fund	$1,001 - $15,000	DIVIDENDS	NONE	
	Elan Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	Lehman Brothers Holdings Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	House, Watauga County, NC	$100,001 - $250,000	N/A	N/A	P
	American Express Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Applied Materials Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Bea Systems Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Bio Technology Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Corning Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	EMC Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Immunex Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Knight Trading Group Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Sprint Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Safeco Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Howard Coble

Page 7 of 11

	Charles Schwab Common Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Transmeta Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	New World Mutual Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Washington Mutual Investors Mutual Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	High Country Bank Stock Certificate	$1,001 - $15,000	DIVIDENDS	NONE	P
	TransAmerica Life Insurance Annuity	$1,001 - $15,000	DIVIDENDS	NONE	P
	Dreyfuss Premier Worldwide Growth Mutual Fund	$1,001 - $15,000	DIVIDENDS	NONE	P
	Cienna Common Stock	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE IV - TRANSACTIONS

Name John Howard Coble

Page 8 of 11

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Verizon Common Stock	S	4-1-01	$1,001 - $15,000
	Flextronics Intl. Common Stock	S	11-30-01	$1,001 - $15,000
	Boston Scientific Common Stock	S	11-30-01	$1,001 - $15,000
	House and one acre, Blowing Rock, NC	S	4-13-01	$50,001 - $100,000
	House, Watauga County, NC	P	6-1-01	$100,001 - $250,000
	American Express Common Stock	P	7-24-01	$1,001 - $15,000
	Applied Materials Common Stock	P	11-27-01	$1,001 - $15,000
	Bea Systems Common Stock	P	11-27-01	$1,001 - $15,000
	Bio Technology Common Stock	P	4-18-01	$1,001 - $15,000
	Corning Common Stock	P	4-18-01	$1,001 - $15,000
	EMC Common Stock	P	4-18-01	$1,001 - $15,000
	Immunex Common Stock	P	4-18-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name John Howard Coble

Page 9 of 11

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Knight Trading Group Common Stock	P	7-24-01	$1,001 - $15,000
	Sprint Common Stock	P	4-18-01	$1,001 - $15,000
	Safeco Common Stock	P	4-18-01	$1,001 - $15,000
	Charles Schwab Common Stock	P	11-27-01	$1,001 - $15,000
	Transmeta Common Stock	P	4-19-01	$1,001 - $15,000
	New World Mutual Fund	P	7-1-01	$1,001 - $15,000
	Washington Mutual Investors Mutual Fund	P	7-1-01	$1,001 - $15,000
	High Country Bank Stock Certificate	P	2-1-01	$1,001 - $15,000
	TransAmerica Life Insurance Annuity	P	5-24-01	$1,001 - $15,000
	Dreyfuss Premier Worldwide Growth Mutual Fund	P	2-1-01	$1,001 - $15,000
	Cienna Common Stock	P	7-1-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Howard Coble

Page 10 of 11

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
American Intellectual Property Law Association	Feb. 15-19	Wash, DC - Paris, France - Wash, DC	Y	Y	N	N/A
Recording Industry Association of America	April 27-28	Wash, DC - Nashville, TN - Wash, DC	Y	Y	N	N/A
Copyright Society of the USA	June 9-11	Wash, DC - Bolton Landing, NY - Wash, DC	Y	Y	N	N/A
Ripon Educational Fund	Aug. 10-18	Wash, DC - Manchester, England - Edinburgh, Scotland - Wash, DC	Y	Y	N	N/A
American Crop Protection Association	Sept. 28 - Oct. 1	Wash, DC - White Sulphur Springs, WV - Wash, DC	Y	Y	N	N/A
American Intellectual Property Law Association	Nov. 16-20	Wash, DC - Rome, Italy - Wash, DC	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name John Howard Coble

Page 11 of 11

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Visitors	Guilford College, Greensboro, NC
Member, Congressional Advisory Board	Greensboro College, Greensboro, NC
Member, Board of Visitors	U.S. Coast Guard Academy, New London, CT
Member, Congressional Advisory Board	Congressional Youth Leadership, Washington, DC
Member, National Advisory Board	Jefferson Educational Foundation, Washington, DC
Member, Congressional Board of Advisors	Common Sense, Inc., Stafford, VA
Honorary Past Chairman	Jefferson Islands Club, Washington, DC
Member, Congressional Advisory Board	India Abroad Center for Political Awareness, Washington, DC
Member, Congressional Board of Advisors	Close Up Foundation, Washington, DC
Member, Steering Committee	Faith & Politics Institute, Washington, DC
Member, Honorary Board of Advisors	National Student Leadership Foundation, Washington, DC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

MC 2002 MAY 15 PM 3:56 ⑬

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Michael Allen (Mac) Collins
(Full Name)

189 Buttrill Road
Jackson, GA 30233
(Mailing Address)

202-225-5901
Daytime Telephone:

Filer Status: ☒ Member of the U.S. House of Representatives State: GA District: Third ☐ Officer or Employee Employing Office:

Report Type: ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael Allen Collins	5-14-02

Name Michael A. (Mac) Collins | Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Collins Trucking Company, Inc. (Family owned business)	Advisor	21,765.00
	Collins Trucking Company, Inc.	Spouse salary	n/a
	Collins Industries, Inc.	Spouse salary	n/a

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Michael A. (Mac) Collins | Page 3 of 7

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	B: A	B: B	B: C	B: D	B: E	B: F	B: G	B: H	B: I	B: J	B: K	B: L	C	C	C	C	C	C	C	D: I	D: II	D: III	D: IV	D: V	D: VI	D: VII	D: VIII	D: IX	D: X	D: XI	E
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Cong. Federal Cr.Union				X											X							X									
	Western Reserve (IRA)						X										N/A								N/A							
	Collins Trkg.Co.(Sub-S)								X					X														X				
	McIntosh State Bank				X											X								X								
	The Farm(110 Ac.farmland) Hwyy 16 East,Jackson,GA							X												Farm Income					X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael A.(Mac) Collins

Page 4 of 7

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
	Personal Stock:																															
	Cisco Systems,Inc.				X									X								X										
	Delta Airlines,Inc.				X									X								X										
	Home Depot, Inc.				X									X								X										
	Wal Mart				X									X								X										
	Abiomed		X											X							X											
	Putnam Growth Opportunities				X									X							X											P
	Jackson Investment Club																															
	(1/16 ownership - SEE ATTACHMENT)																															

This page may be copied if more space is required.

Morgan Stanley

1099-DIV
STATEMENT FOR TAX YEAR 2001
DIVIDENDS AND DISTRIBUTIONS

COPY B
FOR RECIPIENT
PAGE 1 OF 3

OMB.NO.:1545-0110

PAYER:
MORGAN STANLEY DW INC.
75 VARICK STREET
NEW YORK, NY 10013
IDENTIFICATION NUMBER: 94-1671384

JACKSON INVESMENT CLUB
ATTENTION: C/O HARRY LEWIS
333 S HARKNESS ST
JACKSON GA 30233-1860

005555

Account Number
519 012748 028

Federal Tax ID
58-6050076

Customer Service
(800) 869-3326

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

The following dividend information is reported to the IRS by payer. When preparing your income tax return you should list payer information separately as shown below.

Payer	*1. Ordinary Dividends*	*2a. Total Capital Gain Distributions*	*2c. Qualified 5 Year Gain*	*2d. Unrecap Section 1250 Gain*	*3. Nontaxable Distributions*	*4. Federal Income Tax Withheld*	*6. Foreign Tax Paid*	*7. Foreign Country or US Posses*	*8. Cash Liquidation Distributions*
Morgan Stanley DW Inc. PAYER'S FED. ID. # 94-1671384	1,370.00	0.00	0.00	0.00	0.00	0.00	14.89	see detail	0.00
ACTIVE ASSETS MONEY TRUST PAYER'S FED. ID. # 13-3075005 PLAN NUMBER 260-090026186	12.49	0.00	0.00	0.00	0.00	0.00	0.00		0.00

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC

Morgan Stanley

1099-DIV DETAIL
STATEMENT FOR TAX YEAR 2001

PAGE 2 OF 3

JACKSON INVESMENT CLUB
ATTENTION: C/O HARRY LEWIS

Account Number
519 012748 028

DETAIL OF DIVIDENDS AND DISTRIBUTIONS

Payer/Pay Date	Ordinary Dividends	Long Term Capital Gain Distributions	Qualified 5-year Gain	Unrecaptured Section 1250 Gains	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid	Cash Liquidation Distributions
MORGAN STANLEY DW INC.								
BB & T CORP								
11/01/01	6.50							
COCA COLA CO								
04/01/01	54.00							
GENERAL ELECTRIC CO								
01/25/01	48.00							
04/25/01	48.00							
07/25/01	48.00							
10/25/01	48.00							
HOME DEPOT INC								
03/22/01	52.00							
06/28/01	52.00							
09/13/01	40.00							
12/13/01	50.00							
INTEL CORP								
03/01/01	24.20							
06/01/01	26.20							
09/01/01	31.20							
12/01/01	31.20							
JOHNSON & JOHNSON								
09/11/01	49.50							
12/11/01	49.50							
LUCENT TECHNOLOGIES								
03/01/01	4.00							
06/01/01	4.00							
MERCK & CO								
01/02/01	136.00							
04/02/01	85.00							
07/02/01	85.00							
10/01/01	87.50							
MOTOROLA INC								
01/15/01	9.00							
04/16/01	9.00							
07/16/01	9.00							
10/15/01	9.00							
NOKIA CP ADR	FINLAND							
04/10/01	99.25						14.89	
PFIZER INC								
03/08/01	11.00							
06/07/01	11.00							

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

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MorganStanley

1099-DIV DETAIL
STATEMENT FOR TAX YEAR 2001

PAGE 3 OF 3

JACKSON INVESMENT CLUB
ATTENTION: C/O HARRY LEWIS

Account Number
519 012748 028

Payer/Pay Date	Ordinary Dividends	Long Term Capital Gain Distributions	Qualified 5-year Gain	Unrecaptured Section 1250 Gains	Non-Taxable Distributions	Federal Income Tax Withheld	Foreign Tax Paid	Cash Liquidation Distributions
MORGAN STANLEY DW INC.								
09/06/01	11.00							
12/06/01	11.00							
HAL MART STORES INC								
01/08/01	29.10							
04/09/01	33.95							
07/09/01	33.95							
10/09/01	33.95							
Total	1,370.00	0.00	0.00	0.00	0.00	0.00	14.89	0.00
ACTIVE ASSETS MONEY TRUST								
2001	12.49							
Total	12.49	0.00	0.00	0.00	0.00	0.00	0.00	0.00

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

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MorganStanley

1099-B
STATEMENT FOR TAX YEAR 2001
PROCEEDS FROM BROKER AND BARTER

COPY B
FOR RECIPIENT
PAGE 1 OF 1

OMB.NO.:1545-0715

PAYER:
MORGAN STANLEY DW INC.
75 VARICK STREET
NEW YORK, NY 10013
IDENTIFICATION NUMBER: 94-1671384

JACKSON INVESMENT CLUB
ATTENTION: C/O HARRY LEWIS
333 S HARKNESS ST
JACKSON GA 30233-1860

Account Number
519 012748 028

Federal Tax ID
58-6050076

Customer Service
(800) 869-3326

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

Payer	1a. Date of Sale	1b. Cusip No	2. Stocks, Bonds, Etc. (Gross Proceeds Less Commissions and Option Premiums)	4. Federal Income Tax Withheld	5. Description	Qty
MORGAN STANLEY DW INC. TAX ID NUMBER 94-1671384						
	05/22/01	191216100	14,136.60 ✓	0.00	COCA COLA CO	300.000
	06/19/01	437076102	14,686.65 ✓	0.00	HOME DEPOT INC	300.000
	03/20/01	580135101	751.79 ✓	0.00	MC DONALDS CORP	30.000
	02/20/01	589331107	11,393.10 ✓	0.00	MERCK & CO	150.000
	12/18/01	589331107	14,201.17	0.00	MERCK & CO	250.000
	11/20/01	620076109	3,826.46 ✓	0.00	MOTOROLA INC	225.000
Total			58,995.77	0.00		

IMPORTANT TAX INFORMATION - PLEASE RETAIN FOR YOUR RECORDS

Morgan Stanley is a service mark of Morgan Stanley Dean Witter & Co. Services are offered through Morgan Stanley DW Inc., member SIPC.

Schedule D
(Form 1065)

Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1065.

OMB No. 1545-0099

2001

Name of Partnership: JACKSON INVESTMENT CLUB

Employer Identification Number: 58-6050076

Part I Short-Term Capital Gains and Losses — Assets Held One Year or Less

(a) Description of property (e.g., 100 shares of 'Z' Co)	(b) Date acquired (month, day, year)	(c) Date sold (month, day, year)	(d) Sales price (see instructions)	(e) Cost or other basis (see instructions)	(f) Gain or (loss) ((d) minus (e))
1 30 MCDONALDS	9/19/00	3/20/01	752.	900.	-148.

2 Short-term capital gain from installment sales from Form 6252, line 26 or 37	2	
3 Short-term capital gain (loss) from like-kind exchanges from Form 8824	3	
4 Partnership's share of net short-term capital gain (loss), including specially allocated short-term capital gains (losses), from other partnerships, estates, and trusts	4	
5 **Net short-term capital gain or (loss).** Combine lines 1 through 4 in column (f). Enter here and on Form 1065, Schedule K, line 4d or 7	5	-148.

Part II Long-Term Capital Gains and Losses — Assets Held More Than One Year

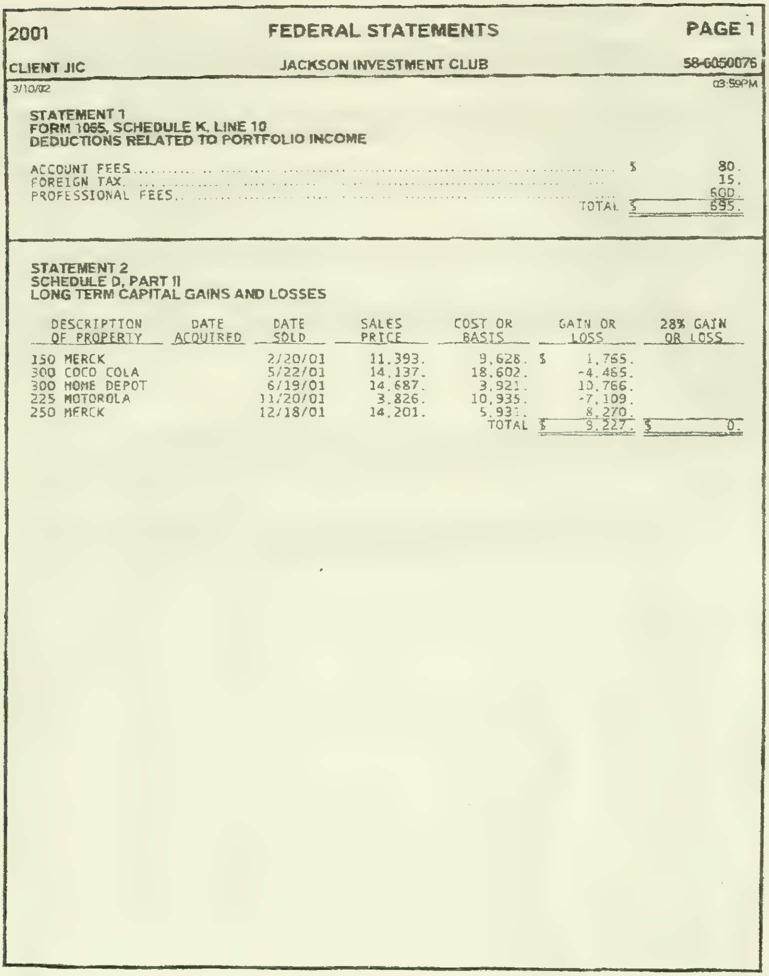
(a) Description of property (e.g., 100 shares of 'Z' Co)	(b) Date acquired (month, day, year)	(c) Date sold (month, day, year)	(d) Sales price (see instructions)	(e) Cost or other basis (see instructions)	(f) Gain or (loss) ((d) minus (e))	(g) 28% rate gain or (loss) * (see instructions)
6SEE STATEMENT 2					9,227.	

7 Long-term capital gain from installment sales from Form 6252, line 26 or 37	7		
8 Long-term capital gain (loss) from like-kind exchanges from Form 8824	8		
9 Partnership's share of net long-term capital gain (loss), including specially allocated long-term capital gains (losses), from other partnerships, estates, and trusts	9		
10 Capital gain distributions	10		
11 Combine lines 6 through 10 in column (g). Enter here and on Form 1065, Schedule K, line 4e(2) or 7	11		
12 **Net long-term capital gain or (loss).** Combine lines 6 through 10 in column (f). Enter here and on Form 1065, Schedule K, line 4e(1) or 7	12	9,227.	

***28% rate gain or (loss)** includes all 'collectibles gains and losses' (as defined in the instructions).

BAA For Paperwork Reduction Act Notice, see instructions for Form 1065. Schedule D (Form 1065) 2001

PTPA0201L 01/01/02



2001	**FEDERAL STATEMENTS**	**PAGE 1**
CLIENT JIC	JACKSON INVESTMENT CLUB	58-6050076
3/10/02		03:59PM

STATEMENT 1
FORM 1065, SCHEDULE K, LINE 10
DEDUCTIONS RELATED TO PORTFOLIO INCOME

ACCOUNT FEES	$	80.
FOREIGN TAX		15.
PROFESSIONAL FEES		500.
TOTAL	$	595.

STATEMENT 2
SCHEDULE D, PART II
LONG TERM CAPITAL GAINS AND LOSSES

DESCRIPTION OF PROPERTY	DATE ACQUIRED	DATE SOLD	SALES PRICE	COST OR BASIS	GAIN OR LOSS	28% GAIN OR LOSS
150 MERCK		2/20/01	11,393.	9,628.	$ 1,765.	
300 COCO COLA		5/22/01	14,137.	18,602.	-4,465.	
300 HOME DEPOT		6/19/01	14,687.	3,921.	10,766.	
225 MOTOROLA		11/20/01	3,826.	10,935.	-7,109.	
250 MERCK		12/18/01	14,201.	5,931.	8,270.	
				TOTAL	$ 9,227.	$ 0.

SCHEDULE IV — TRANSACTIONS

Name Michael A. (Mac) Collins

Page 5 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Putnam Growth Opportunities	X			4-10-01	X									

This page may be copied if more space is required.

Name Michael A. (Mac) Collins

Page 6 of 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Am. Gas Assoc.		Apr.19-21	Atl.-Marco Isl.FL-Atl.	Y	Y	Y	N
Assoc. of Am. Railroads		July 6-8	Atl.-Jackson Hole,WY-Atl.	Y	Y	Y	N
Am. Gas Assoc.		Oct. 6-8	Atl.-Las Vegas NV-Atl.	Y	Y	Y	N

This page may be copied if more space is required.

Name Michael A. (Mac) Collins	Page 7 of 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Georgia Forestry Association
Advisor	Collins Trucking Company, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

⑥

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 12: 24
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC
(Office Use Only)

LARRY ED COMBEST
(Full Name)

1026 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, D.C. 20515
(Mailing Address)

Daytime Telephone: 202-225-4005

Filer Status	☒ Member of the U.S. House of Representatives — State: TEXAS District: 19	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Larry Combest	MAY 14, 2002

Name LARRY COMBEST | Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	CARDIOVASCULAR & THORACIC SURGERY ASSOCIATES	SPOUSE SALARY	N. A.

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name LARRY COMBEST

Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples: DC	Simon & Schuster		Indefinite																	Royalties									X			
Examples: JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	FEDERATED AMERICAN LEADERS - MUTUAL FUND				X												X						X									
JT	TEMPLETON MONEY FUND FRANKLIN TEMPLETON				X											X							X									
JT	TEMPLETON FOREIGN FUND - CLASS II			X										X			X					X										
SP	FEDERATED AMERICAN LEADERS - MUTUAL FUND				X									X			X							X								
SP	AIM - VALUE FUND IRA - 401			X										X			X						X									
JT	CNL AMERICAN PROPERTY FUND			X										X									X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name LARRY COMBEST

Page 4 of 6

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	WRIGHT PATMAN FEDERAL CREDIT UNION - SAVINGS					X										X									X							
JT	PLAINS NATIONAL BANK - C.D.				X											X								X								

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SCHEDULE IV — TRANSACTIONS

Name LARRY COMBEST

Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	TEMPLETON MONEY FUND FRANKLIN TEMPLETON			X	12-01		X								

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Name LARRY COMBEST | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C. Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	ILLINOIS FARM BUREAU	Dec 2-3	Wash, DC - St. Louis, Mo - Wash DC	Y	Y	N	N
	NATIONAL Thoroughbred Racing ASSOCIATION	Oct 26-28	Wash, DC - New York - Wash DC	Y	Y	Y	N

They also paid for tickets to 2001 Breeders Cup - I reimbursed the Association in total personally

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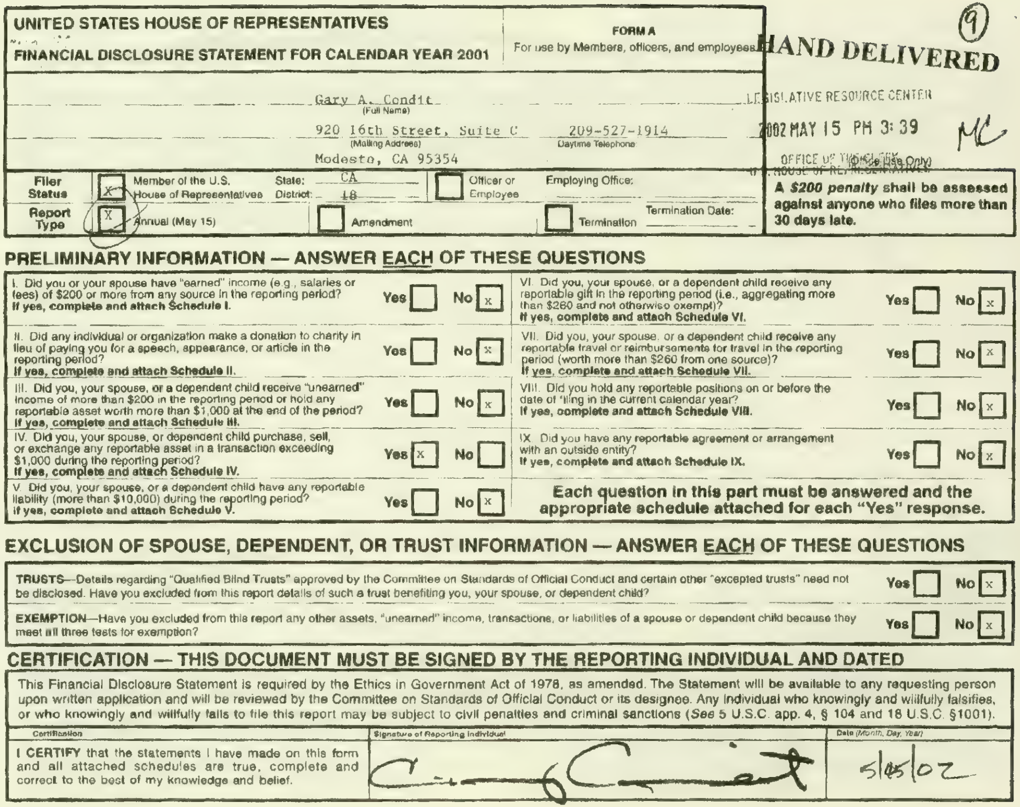

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HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:39
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Gary A. Condit
(Full Name)

920 16th Street, Suite C
(Mailing Address)
Modesto, CA 95354

209-527-1914
(Daytime Telephone)

(Office Use Only)

Filer Status	☒ Member of the U.S. House of Representatives — State: CA District: 18	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15) ☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐ No ☒	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒	
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒	
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒	
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒	

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

Name Gary A. Condit	Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Gary A. Condit	Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source		Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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Name Gary A. Condit

Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Examples:	SP	Mega Corp. Stock					X								X										X								P
			Simon & Schuster		Indefinite																	Royalties									X			
			1st Bank of Paducah, KY accounts						X									X										X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gary A. Condit

Page 5 of 9

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income							Amount of Income											Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E

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SCHEDULE IV — TRANSACTIONS

Name Gary A. Condit

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Sale of condo in Adams Morgan, DC, Adams Mill Road		X					X							

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Name	Gary A. Condit	**Page** 7 **of** 9	

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Wells Fargo Bank	Credit Line paid in full										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Gary A. Condit

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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Name Gary A. Condit **Page** 9 **of** 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 JUN 14 PM 2:31
(Office Use Only)

Representative John Conyers, Jr.
(Full Name)

2426 Rayburn House Office Building
Washington, D.C. 20515
(Mailing Address)

202-225-5126
(Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives — State: Michigan District: 14th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Conyers Jr.	6 13 02

Name John Conyers, Jr.

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$8,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Detroit Public Schools	Spouse salary	N/a

For payments to charity in lieu of honoraria, use Schedule II.

Name John Conyers, Jr. Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	N/A			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name John Conyers, Jr.

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples:	SP Mega Corp. Stock					X								X										X								P
DC,		Simon & Schuster	Indefinite																		Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
		Congressional Credit Union		X													X					n/a											
		Congressional Credit Union			X																												

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name John Conyers, Jr.

Page 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E

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SCHEDULE IV — TRANSACTIONS

Name John Conyers, Jr. Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock				10–12–01		x								
	automobile	X			3/20/02		X								

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Name John Conyers, Jr. Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B [illegible]	C $15,001– $50,000	D [illegible]	E $100,001– $250,000	F [illegible]	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J [illegible]	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Thrift Savings Plan	Personal		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of **all** gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name John Conyers, Jr. Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Natl Bar Assoc -	Oct 12-13	Washington DC - Denver-Detroit	Y	Y	N	N
	NOBLE organization	Oct 15-16	Det - Cinncin - Wash DC	Y	Y	N	N
	Train Stop Jazz Institute	Dec 7-8	Wash DC - Philad-Detroit	Y	Y	N	N
	A Yr. in Blk Presence Coal	Mrch 1-2	Wash DC - Philad - Detroit	Y	Y	N	N
	Harvard Univ	Mrch 12	Wash DC - Boston - Wash DC	N	N	N	N
	Billboard Magazine	Mrch 14-16	Wash DC - Miami - Detroit	Y	Y	N	N
	NYC Health Care for All	Apr 5-6	Wash DC - NY - Wash DC	Y	Y	N	N
	Philad Area Committee to Defend Health Care	Apr 7	Wash DC - Philad - Detroit	N	N	N	N
	Center for Res - Action on Race Relations	May 10-11	Wash DC - Montreal - Detroit	Y	Y	N	N

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Name John Conyers, Jr.	Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
N/A	N/A

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

⑥

LEGISLATIVE RESOURCE CENTER

MC 2002 MAY 15 AM 10: 38

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

Jerry F. Costello (Full Name)

2608 Pro Tour Drive
Belleville IL 62220 (Mailing Address)

Wm. B. Schaltenbrand - Accountant
(618) 398-4173 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: IL District: 12	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	X Jerry F. Costello	May 13, 2002

Name Jerry F. Costello	**Page** 2 **of** 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of Illinois	Spouse Salary	N/A
	St. Clair County	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Jerry F. Costello

Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	West Pointe Bancorp, Inc. Stock - IRA				X									X									X									
SP	West Pointe Bancorp, Inc. Stock - IRA				X									X									X									
	Putnam International - New Opportunities Fund CL A - IRA			X										X							X											
SP	Putnam International - New Opportunities Fund CL A - IRA			X										X							X											
	Boston Advisors M/M Fds U S Govt M/M Fund CL 1 - IRA			X										X								X										
SP	Boston Advisors M/M Fds U S Govt M/M Fund CL 1 - IRA			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND “UNEARNED” INCOME

Continuation Sheet (if needed)

Name Jerry F. Costello

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Congressional Federal Credit Un.			X												X						X										
	AT&T Wireless Group Stock			X																	X											
	State of Illinois				X															Illinois Retirement	X											
SP	State of Illinois				X															Illinois Teacher's Retirement	X											

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Name Jerry F. Costello

Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	West Pointe Bank & Trust Company, Belleville, Illinois	Personal Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Jerry F. Costello | Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples.	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American Association For The Advancement of Science (Fact - Finding)		Apr. 20 - 23	Belleville - Cuba - Belleville	Y	Y	N	N
Burlington Northern Santa Fe Railroad (Fact-Finding)		July 5 - 6	Belleville - Jackson Hole, WY - See Below	Y	Y	Y	N
Association of American Railroads (Conference)		July 6 - 9	See Above - Jackson Hole, WY - Belleville	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 7: 11
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
⑧

Christopher Cox
(Full Name)

2402 Rayburn House Office Building
(Mailing Address)

Washington, D.C.
Daytime Telephone: 202-225-5611

Filer Status ☒ Member of the U.S. House of Representatives State: CA District: 47 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15, 2002

Name Christopher Cox **Page** 1 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Continental Airlines	Spouse Compensation	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Christopher Cox

Page 2 **of** 7

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	*Examples:* SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster	Indefinite																		Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	IRA: Salomon Smith Barney SBSPX				X																X											P
SP	IRA: Fidelity Magellan				X																X											
SP	Continental Airlines Retirement						X														X											
	MFS Interm. Inc. Fund			X										X									X									
	Calvert Tax-Free Reserves						X							X											X							
	American Eagle Coins			X																	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Christopher Cox

Page 3 **of** 7

	BLOCK A **Asset and/or Income Source**	BLOCK B **Year-End Value of Asset**												BLOCK C **Type of Income**							BLOCK D **Amount of Income**											BLOCK E **Transaction**
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Coca Cola common stock			X										X								X										
	IRA: Smith Barney Money Market	X												X									X									S
	Smith Barney CA Muni Money Market									X				X													X					
	Bradenton FL Uti '01	X															X										X					
	AZ Trans Bd '02				X																X											

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SCHEDULE IV — TRANSACTIONS

Name Christopher Cox | **Page** 4 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date		Amount of Transaction								
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	IRA: Smith Barney Money Market		X		9-18-01		X								
	IRA: Salomon Smith Barney SBSPX	X			9-18-01		X								

This page may be copied if more space is required.

Name Christopher Cox	Page 5 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name Christopher Cox | Page 6 of 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Aspen Institute -- Bipartisan Retreat	Mar. 9-11	Washington, DC - White Sulpher Springs, WVA - Washington, DC	Y	Y	Y	N

This page may be copied if more space is required.

Name Christopher Cox	**Page** 7 **of** 7

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board	AIDS Services Foundation Orange County
Trustee	Chapman University
National Advisory Board	Childhelp USA
Advisory Council	Laguna Canyon Foundation
Community Advisor	Orange County Bar Foundation
Advisory Board	Orange County YMCA
Advisory Board	Serving People In Need (S.P.I.N.)
Advisory Board	UCI Brain Imaging Center

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
⑧
LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 2:41
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

William J. Coyne
(Full Name)

2455 Rayburn House Office Building
(Mailing Address)

Washington, D.C. 20515
Daytime Telephone: 202-225-2301

Filer Status	☒ Member of the U.S. House of Representatives — State: PA District: 14th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William J. Coyne	May 14, 02

Name William J. Coyne

Page 2 **of** 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

Name William J. Coyne | Page 3 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name William J. Coyne

Page 4 of 8

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Pittsburgh National				X											X								X								
	Wright Patman FCU							X								X											X					
	Dollar Savings Bank			X												X										X						
	U.S. Treasury Note				X											X							X									S

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name William J. Coyne

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	U.S. Treasury Note		X		04-05-01		X								

This page may be copied if more space is required.

Name William J. Coyne Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	None											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name William J. Coyne | Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	None						

Name William J. Coyne **Page** 8 **of** 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	YMCA of Pittsburgh
Board Member	Flax Trust
Board Member	Duquesne University Beard Center for Leadership in
	Ethics Advisory Board

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:47
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

⑤ MC

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

ROBERT EDWARD CRAMER, JR.
(Full Name)
417 EUSTIS AVENUE
(Mailing Address)
HUNTSVILLE, ALABAMA 35801
(202) 225-4801
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: AL District: 05	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		MAY 14, 2002

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name ROBERT E. CRAMER, JR. Page 2 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X									X										X						
	Easy Street Investment Co. Huntsville, AL (one share)				X												X							X								
	AL State Employees Deferred Income Account (nationwide fixed annuity massachusetts fixed annuity)				X												X							X								
	1212 Locust Avenue, Huntsville, Alabama						X								X									X								

For additional assets and unearned income, use next page.

Name ROBERT E. CRAMER, JR Page 3 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	SOUTHTRUST MORTGAGE, (HUNTSVILLE, AL	MORTGAGE ON 1212 LOCUST AVE.			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of **all** gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name ROBERT E. CRAMER, JR Page 4 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Huntsville-Madison County Airport Authority	Feb 27-March 4, 2001	Wash., DC - Tokyo - Hongkong - Huntsville, AL	Y	Y	N	N
	Blue Dog PAC	Sept. 7-9, 2001	Wash. DC to Sulphur Springs, West Virginia to WDC	Y	Y	N	N
	Blue Dog PAC	Nov 16-18, 2001	Wash., DC to Napa, CA to Wash., DC	Y	Y	N	N

Name ROBERT E. CRAMER, JR.	Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
HONORARY BOARD MEMBER	NAT'L CENTER FOR MISSING & EXPLOITED CHILDREN, ALEXANDRIA, VA

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 5:09
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

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Philip Miller Crane
(Full Name)

233 Cannon House Office Building
(Mailing Address)

Washington, DC 20515-1308

Daytime Telephone: (202)225-3711

A **$200 penalty** shall be assessed against anyone who files more than 30 days late.

Filer Status	☒ Member of the U.S. House of Representatives	State: Illinois District: 8	☐ Officer or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Philip M. Crane	5/15/02

Name Philip Miller Crane	**Page** ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Merrill Lynch IRA Account	IRA Distribution	$15,734

For payments to charity in lieu of honoraria, use Schedule II.

Name Philip Miller Crane

Page ___ of ___

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	TIAA/CREF Retirement Acct				X																X											
	Van Kampen Covt Fund IRA				X									X										X								
	Allfirst Fmly CDs (IRA)					X										X									X							
	Household Bank CDs (IRA)					X										X									X							
	Providian CD (IRA)				X											X								X								P
	Davis Venture Mutual Fund (IRA)					X								X							X											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Philip Miller Crane

Page ___ **of** ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Enterprise Growth Fund-IRA				X									X							X											
	Alliance Internatl Fund-IRA			X										X							X											
	Alliance Premier Fund-IRA				X									X							X											
	St Clair Cnty, IL, bond				X											X								X								
	Chicago, IL, bonds					X										X									X							
	Hoffman Estates, IL, bonds				X											X								X								
	Evanston, IL, bond				X											X								X								
	IL Health Facilities bonds					X										X									X							
	Kane Cnty, IL, bond				X											X							X									P
	IL Rural Bd bond				X											X								X								P
	IL State Cvc Ctr bond				X											X							X									P
	Skokie, IL, bond				X											X								X								P
	Merrill Lynch Growth Fund-IRA				X									X							X											P
	Merrill Lynch money mkt act				X									X									X									
	Congressional Credit Union					X								X										X								
SP	First Union Bank Account							X								X										X						
	Coin Collection					X															X											
	Nuveen Quality Fund					X								X											X							
	Nuveen Municipal Fund					X								X											X							
	MFS Municipal Income Trust					X								X											X							
	Fountain County, IN, Farm				X															Farm Income						X						
	Hartford Annuity					X															X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Philip Miller Crane

Page ___ of ___

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
	Bay Oaks Development Corp						X													Partnership Income	(sold property)								X			
	-interest in 400 acres of																															
	development property in																															
	McHenry, IL																															
	Bay View Development Corp					X											X				(sold property)								X			
	-interest in 130 acres of																															
	development property in																															
	McHenry, IL																															
	Rental Property:					X									X											X						
	-1205 Howard Avenue Nashville, TN																															

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SCHEDULE IV — TRANSACTIONS

Name Philip Miller Crane

Page ___ **of** ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	IBJ Whitehall B&T CD (IRA) came due		X		02-16-01			X							
	Providian CD (IRA)	X			03-26-01		X								
	Davis Venture Mutual Fund (IRA)	X			03-26-01		X								
	Merrill Lynch Fundamental Growth Fund (IRA)	X			03-26-01		X								
	Kane County, IL, bond	X			12-26-01		X								
	IL Rural Bd, bond	X			12-26-01		X								
	IL State Cvc Ctr, bond	X			12-26-01		X								
	Skokie, IL, bond	X			12-26-01		X								

This page may be copied if more space is required.

Name	Philip Miller Crane	Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT		Creditor	Type of Liability	Amount of Liability									
				B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
		Wells Fargo Home Mortgage, Inc.	Mortgage on 1205 Howard Ave,			X							
			Nashville, TN										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

	Source	Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Philip Miller Crane

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
US Asean Business Council, Inc.	April 6-15	Washington-Singapore-Vietnam-Washington	Y	Y	Y	N/A
Procomer	May 27-30	Washington-Costa Rica-Washington	Y	Y	Y	N/A
Ripon Educational Fund	Aug 10-18	Washington-Scotland-Washington	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Philip Miller Crane

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Advisors	John M. Ashbrook Center for Public Affairs, Ohio
Board of Trustees	Hillsdale College, Michigan
Trustee	Intercollegiate Studies Institute, Delaware
National Steering Committee	Friends of the Milton and Rose D. Friedman Foundation, Indiana
Board of Trustees	Association of American Chambers of Commerce in Latin America, Washington, D.C.
Board of Trustees	Caribbean Latin American Action, Washington, D.C.

HAND DELIVERED (6)

GISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:14
S. HOUSE OF REPRESENTATIVES

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Alexander M. Crenshaw
(Full Name)

4314 Ortega Forest Drive Jacksonville, FL 32210
(Mailing Address)

202-225-2501
Daytime Telephone:

MC
(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: FL District: 04	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Alexander M. Crenshaw	May 15, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Alexander M. Crenshaw

Page 2 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Bank of America Corp. Stock	$50,001 - $100,000	Dividends	$2,501 - $5,000	
	Berkshire Hathaway Stock	$50,001 - $100,000	N/A	N/A	
	Pepisco Inc.-Stock	$50,001-$100,000	Dividends	$1,001-$2,500	
	Southern Co.-Stock	$15,001 - $50,000	Divendends	$1,001 - $2,500	
	Alamo Storage Partners-(self storage-Dallas, TX)	$15,001 - $50,000	Rent	$2,501 - $5,000	
	Direct Mail Systems, Inc.-Direct Mail, St. Pete, FL	$100,001 - $250,000	Dividends	$50,001 - $100,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Alexander M Crenshaw

Page 3 of 6

	Aetna Growth & Income Fund-Deferred Compensation	$100,001 - $250,000	Dividends	N/A	
	Templeton World Fund-IRA	$15,001 - $50,000	Dividends	N/A	
	Trinity Fund Ltd., Investments, JAX., FL	$1,000,001 - $5,000,000	Partnership Income	$100,001 - $1,000,000	
	Donaldson, Lufkin & Jenrette Alliance/Front Growth Fund	$100,001 - $250,000	Dividends	N/A	
	Mutual Shares IRA	$1,001 - $15,000	Dividends	N/A	
	Evergreen Money Market	$15,001 - $50,000	Interest	$201 - $1,000	
	Hough Tax Exempt Fund	$1 - $1,000	Interest	$1 - $200	
	Donaldson, Lufkin, Jenrette-IRA Self-directed Investements Listed Below				
	Transocean SEDCO Forex, Inc., Company	$1,001 - $15,000	Dividends	$201 - $1,000	
	Berkshire Hathaway HLDG., Inc. CL. A	$50,001 - $100,000	Dividends	$1 - $200	
	Cisco Systems, Inc.	$15,001 - $50,000	Dividends	NONE	
	Merrill Lynch & Co, Inc.	$15,001 - $50,000	Dividends	$201 - $1,000	
	Riverside Group, Inc.	$1 - $1,000	DIVIDENDS	NONE	
	Schlomberger LTD. Com.	$15,001 - $50,000	Dividends	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Alexander M. Crenshaw

Page 4 of 6

	Tenet Healthcare Corporation	$50,001 - $100,000	Dividends	NONE	
	Wells Fargo & Co.	$50,001 - $100,000	Dividends	$201 - $1,000	
	Resolution Trust FDG Corporation	$100,001 - $250,000	Interest	NONE	
	Money Market Fund	$100,001 - $250,000	Interest	$5,001 - $15,000	

SCHEDULE IV - TRANSACTIONS

Name Alexander M. Crenshaw | Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	BankAmerica.Common Stock	S	12-11-01	$50,001 - $100,000
	Tricon Common Stock	S	12-11-01	$1,001 - $15,000
	Coca Cola Common Stock	S	12-11-01	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Alexander M. Crenshaw

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Korea-US Exchange Council	Aug.26-28	Jacksonville, FL--South Korea	Y	Y	Y	N/A
Chinese Nat'l Assoc. Of Industry and Commerce	Aug.28-30	South Korea--Taiwan	Y	Y	Y	N/A
Heritage Foundation	Aug.30-Sept. 04	Taiwan--Malaysia--Singapore--Jacksonville, FL	Y	Y	Y	N/A

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6
For use by Members, officers, and employees

Joseph Crowley
(Full Name)

76-24 Kneeland Avenue Elmhurst, NY 11373
(Mailing Address)

202-225-3965
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District: 07	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Joseph Crowley	5/15/02

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Joseph Crowley

Page 2 of 6

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
UDV-Guiness	Public Appearance	March 7, 2001	$1,500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Joseph Crowley

Page 3 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Reliastar Life Insurance Company-Qualified Annuity	$15,001 - $50,000	Other: Retirement Account	NONE	
SP	403B, Equitable-Pension/ Broken down into four accounts: Alliance Capital Stock, Alliance Growth and Income, Alliance International Fund, Alliance Fixed Interest	$15,001 - $50,000	Other: Retirement Account	NONE	
	4 Farley Drive Albany, NY	$15,001 - $50,000	RENT	$2,501 - $5,000	
JT	Wright-Patman Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
	Citibank Savings Account	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Joseph Crowley

DC	New York's College Savings Program held by Rep. Joseph Crowley for Kenzie Crowley	$1,001 - $15,000	Other: N/A)	NONE	P
DC	New York's College Savings Program held by Mrs. Kasey Crowley for Joseph Cullen Crowley	$1,001 - $15,000	Other: N/A	NONE	P

SCHEDULE IV - TRANSACTIONS

Name Joseph Crowley

Page 5 of 6

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
DC	New York's College Savings Program held by Rep. Joseph Crowley for Kenzie Crowley	P	May 2001 with ongoing monthly contributions	$1,001 - $15,000
DC	New York's College Savings Program held by Mrs. Kasey Crowley for Joseph Cullen Crowley	P	May 2001 with ongoing monthly contributions	$1,001 - $15,000
	Prudential Insurance Company of America	S	June 18, 2001	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Joseph Crowley

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Jewish Community Relations Council of New York	January 9, January 12, 2001	New York-Jerusalem-New York	Y	Y	N	
American Israel Public Affairs Committee of South Florida	April 18, 2001	New York-Ft. Lauderdale-New York	Y	Y	N	
PSEKA-Justice for Cyprus	August 24, 2001-August 28, 2001	New York-Nicosia, Cyprus	Y	Y	N	
American Israel Public Affairs Committee-American Israel Education Foundation	August 28, 2001-August 30, 2001	Nicosia, Cyprus-Jerusalem, Israel	Y	Y	N	
IMDI	August 30, 2001-September 1, 2001	Tel Aviv, Israel-Prague, Czech Republic-New York	Y	Y	N	

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(6)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 2:13
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Barbara Cubin (Full Name)
1600 N. Oak #1805 Arlington VA (Mailing Address)
202-225-2311 (Daytime Telephone)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☒ Member of the U.S. House of Representatives State: WY District: AL	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Barbara Cubin	5-14-02

Name Cubin

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Fred W. Cubin, MD	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Cubin

Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
IRA	Smith Barney Money Fund		X													X						X										
″	Glaxo			X										X								X										
″	Inv. Co of America			X										X									X									
″	Legacy Annuity				X									X			X						X									
″	SB Total Return Fund	X												X			X					X										
″	USX Marathon		X														X				X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Cubin

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
IRA	Identix			X													X				X											
"	Cascade Intl.	X												X							X											
	Monsanto	X												X								X										
	Pfizer			X										X								X										
	Merck & Co			X										X								X										
	State Str. Mutual Fund				X									X									X									
	NW Bank Savings Acct				X											X							X									
	TSP					X								X							X											
	Cong. Fed. Credit Union					X										X						X										
IRA	Universal Display			X																												
	Casper Mtn. Land					X															X											
	Garfield Peak Land						X														X											
JT	Universal Display			X																	X											P

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Cubin

Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
JT	Universal Display	X			10-12-01	X									

This page may be copied if more space is required.

Name Cubin	Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Directors	National Rifle Association

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

⑨ LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 32
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

JOHN ABNEY CULBERSON
(Full Name)

10000 MEMORIAL DR. SUTE 620
HOUSTON TEXAS 77024
(Mailing Address)

(713) 682-8828
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 7	☐ Officer or Employee Employing Office:
Report Type	☐ [✓ Annual (May 15)]	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☑
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (*Month, Day, Year*)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John Abney Culberson	MAY 15, 2002

Name JOHN CULBERSON | Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	0		

For payments to charity in lieu of honoraria, use Schedule II.

Name JOHN CULBERSON

Page ___ of ___

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug 13, 2001	$500
	0			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JOHN CULBERSON

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,		SP	Mega Corp. Stock					X								X										X								P
DC,	Examples:		Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOHN CULBERSON

Page ___ of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	Ø																															

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SCHEDULE IV — TRANSACTIONS

Name JOHN CULBERSON

Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Ø														

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Name JOHN CULBERSON

Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	PANHANDLE PLAINS HIGHER ED. AUTHORITY	STUDENT LOAN		X								
	1403 23RD St., CANYON TX 79015											
	DISCOVER CARD	REVOLVING CHARGE ACCOUNT	X									
	WELLS FARGO BANK	PERSONAL LOAN/LINE OF CREDIT		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name JOHN CULBERSON	Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days

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Name JOHN CULBERSON | Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

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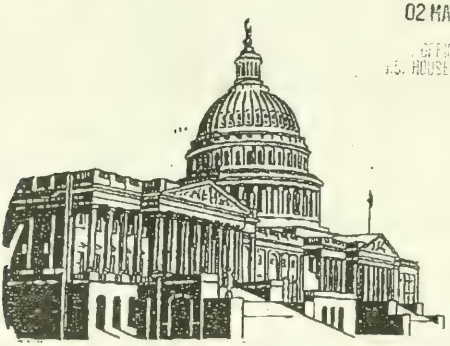


A Facsimile Transmission From

Congressman Elijah E. Cummings

Congressman Elijah E. Cummings

Washington Office:

1632 Longworth H.O.B.
Washington, D.C. 20515
(202) 225-4741
Fax: (202) 225-3178

District Offices: ✓

3000 Druid Park Drive
Baltimore, MD 21215
(410) 367-1900
Fax: (410) 367-5331

✓ 7131 Liberty Road
Suite 202
Baltimore, MD 21207
(410) 496-2010
Fax: (410) 496-2015

754 Frederick Road
Catonsville, MD 21228
(410) 719-8777
Fax: (410) 455-0110

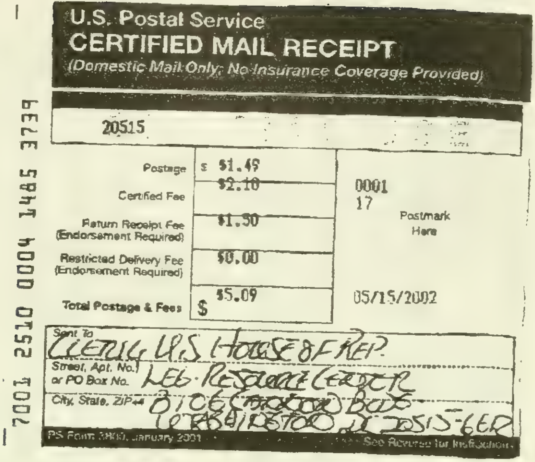
TO: Read Slack Leg. Resource	FROM: MIKE CHRISTIANSON
FAX #: 202-225-5207	REPLY #: 410/496-2010

DATE: 5/23/2002 TIME: 4 35 PM 10 PAGES TO FOLLOW

Message

Copy of Rep. Cummings' Financial Disclosure Statement - 2001. Mailed 5/15/2002. Copy of receipt enclosed

Mike Christianson
410-496-2010



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Return Receipt Fee (Endorsement Required)	$1.50	
Restricted Delivery Fee (Endorsement Required)	$0.00	
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WASHINGTON DC 20515-6612

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CUMMINGS

UNITED STATES HOUSE OF REPRESENTATIVES

ETHICS IN GOVERNMENT ACT -- FINANCIAL DISCLOSURE STATEMENT FOR 2001

FORM A For Use By Members, Officers, and Employees

RETURN COMPLETED STATEMENT TO:

The Clerk, U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, D.C. 20515-6612

Members must file a signed original and two copies thereof. Employees must file a signed original and one copy thereof.

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U.S. HOUSE OF REPRESENTATIVES

FAX

mc

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 8
For use by Members, officers, and employees

Elijah E. Cummings
(Full Name)

2014 Madison Avenue Baltimore, MD 21217
(Mailing Address)

(410) 367-1900
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: MD District: 07	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-10-2002

SCHEDULE I - EARNED INCOME

Name Elijah E. Cummings

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Baltimore County, MD, Schools	Spouse Salary	$65,000

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Elijah E. Cummings

Page 3 of 8

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Anne Arundel County Annual Martin Luther King Dinner	Speech	Jan. 13, 2001	$1,000
Greater Bethel AME Church, Charlotte, N.C.	Speech	Feb. 18, 2001	$500
National Conference on African Americans & AIDS	Speech	Feb. 19, 2001	$1,000
Mt. Lebanon Baptist Church	Speech	Mar. 4, 2001	$500
Turner Monumental AME Chruch	Speech	Mar. 25, 2001	$500
Mount Pisgah CME Church	Speech	Apr. 22, 2001	$350
Montgomery County DHHS Fatherhood Conference	Speech	Apr. 30, 2001	$150
Morning Start Baptist Church	Speech	July 13, 2001	$500
Chesapeak, VA, NAACP Freedom Fund Banquet	Speech	Sept. 15, 2001	$1,000
Sharon Baptist Church	Speech	Oct. 7, 2001	$685
Howard University	Speech	Nov. 18, 2001	$700
Savannah State University	Speech	Dec. 8, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elijah E. Cummings

Page 4 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	2014 Madison Ave, Baltimore, MD	$50,001 - $100,000	RENT	$2,501 - $5,000	
JT	5809 Leithwalk, Baltimore, MD	$50,001 - $100,000	N/A	NONE	
	2225 St. Paul St., Baltimore. MD	None	CAPITAL GAINS	$1,001 - $2,500	
	Elijah E. Cummings, PA	None	No Income per House Rules. Continued legal existence for resolving claims only	NONE	

SCHEDULE IV - TRANSACTIONS

Name Elijah E. Cummings

Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	2225 St. Paul St., Baltimore, MD Installment Sale (See, 5/19/96 Report)	S	Ongoing	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Elijah E. Cummings

Page 6 of 6

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Ideal Savings & Loan, Baltimore, MD	Mortgage on 2225 St. Paul St., Baltimore, MD	$15,001 - $50,000
	First National Mortgage Company, Palatine, Illinois	Mortgage on 2014 Madison Ave., Baltimore, MD	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Elijah E. Cummings

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Dillard Univ.	Jan. 14-15	BWI - New Orleans - BWI	Y	Y	N	N/A
Greater Bethel AME Church, Charlotte, NC	Feb. 18	BWI - Charlotte	N	N	N	N/A
ATT / Microsoft	Mar. 15-18	BWI - Los Angeles	Y	Y	N	N/A
Turner Monumental AME Church, Atlanta, GA	Mar. 24-25	BWI - Atlanta	Y	Y	N	N/A
Congressional Black Caucus Foundation	June 1-3	BWI - New Orleans	Y	Y	N	N/A
Congressional Black Caucus Policy & Leadership Institute	June 8-10	BWI - Charlotte	Y	Y	N	N/A
Cheapapeake, VA, NAACP	Sept. 15	Baltimore - Norfolk	Y	Y	N	N/A
Savannah State University	Dec. 7-8	BWI - Savannah, GA	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Elijah E. Cummings

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Baltimore Zoological Society, Baltimore, MD
Director	Eubie Blake Cultural Center, Baltimore, MD
Director	Learning to Lead, Inc., Baltimore, MD
Member	Morgan State University Board of Regents, Baltimore, MD
Member	University of Maryland School of Law Board of Visitors, Baltimore, MD

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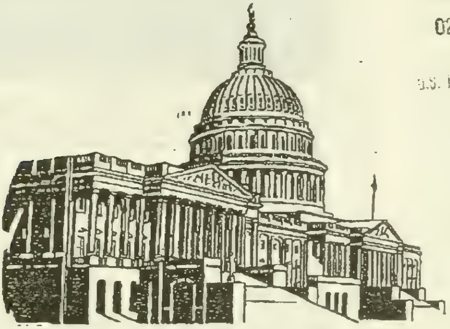

A Facsimile Transmission From

Congressman Elijah E. Cummings

Congressman Elijah E. Cummings

Washington Office;

1632 Longworth H.O.B.
Washington, D.C. 20515
(202) 225-4741
Fax (202) 225-3178

District Offices:

3000 Druid Park Drive
Baltimore, MD 21215
(410) 367-1900
Fax (410) 367-5331

✓ 7131 Liberty Road
Suite 202
Baltimore, MD 21207
(410) 496-2010
Fax (410) 496-2015

754 Frederick Road
Catonsville, MD 21228
(410) 719-8777
Fax (410) 455-0110

TO: JANICE GLOSSIN	FROM: MIKE CHRISTIANSON
FAX #: 202-226-5207	REPLY #: 410/496-2010

DATE: 5/23/2002 TIME: 4^{53}PM 10 PAGES TO FOLLOW

Message

REP. E. CUMMINGS 2001 DISCLOSURE
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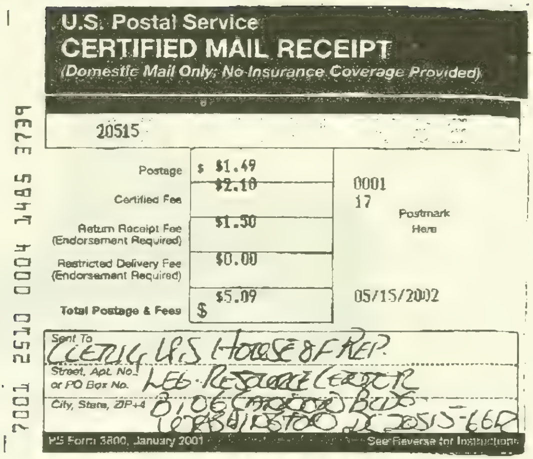

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees
Page 1 of 6

Elijah E. Cummings
(Full Name)

2014 Madison Avenue Baltimore, MD 21217
(Mailing Address)

(410) 367-1900
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives State: MD District: 07	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4 § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-10-2002

SCHEDULE I - EARNED INCOME

Name Elijah E. Cummings

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Baltimore County, MD, Schools	Spouse Salary	$65,000

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Elijah E. Cummings

Page 3 of 8

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Anne Arundel County Annual Martin Luther King Dinner	Speech	Jan. 13, 2001	$1,000
Greater Bethel AME Church, Charlotte, N.C.	Speech	Feb. 18, 2001	$500
National Conference on African Americans & AIDS	Speech	Feb. 19, 2001	$1,000
Mt. Lebanon Baptist Church	Speech	Mar. 4, 2001	$500
Turner Monumental AME Chruch	Speech	Mar. 25, 2001	$500
Mount Pisgah CME Church	Speech	Apr. 22, 2001	$350
Montgomery County DHHS Fatherhood Conference	Speech	Apr. 30, 2001	$150
Morning Start Baptist Church	Speech	July 13, 2001	$500
Chesapeak, VA, NAACP Freedom Fund Banquet	Speech	Sept. 15, 2001	$1,000
Sharon Baptist Church	Speech	Oct. 7, 2001	$685
Howard University	Speech	Nov. 18, 2001	$700
Savannah State University	Speech	Dec. 8, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Elijah E. Cummings

Page 4 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	2014 Madison Ave, Baltimore, MD	$50,001 - $100,000	RENT	$2,501 - $5,000	
JT	5809 Leithwalk, Baltimore, MD	$50,001 - $100,000	N/A	NONE	
	2225 St. Paul St., Baltimore, MD	None	CAPITAL GAINS	$1,001 - $2,500	
	Elijah E. Cummings, PA	None	No income per House Rules. Continued legal existence for resolving claims only	NONE	

SCHEDULE IV - TRANSACTIONS

Name Elijah E. Cummings

Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	2225 St. Paul St., Baltimore, MD Installment Sale (See, 5/19/96 Report)	S	Ongoing	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Elijah E. Cummings

Page 6 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Ideal Savings & Loan, Baltimore, MD	Mortgage on 2225 St. Paul St., Baltimore, MD	$15,001 - $50,000
	First National Mortgage Company, Palatine, Illinois	Mortgage on 2014 Madison Ave., Baltimore, MD	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Elijah E. Cummings

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Dillard Univ.	Jan. 14-15	BWI - New Orleans - BWI	Y	Y	N	N/A
Greater Bethel AME Church, Charlotte, NC	Feb. 18	BWI - Charlotte	N	N	N	N/A
ATT / Microsoft	Mar. 15-18	BWI - Los Angeles	Y	Y	N	N/A
Turner Monumental AME Church, Atlanta, GA	Mar. 24-25	BWI - Atlanta	Y	Y	N	N/A
Congressional Black Caucus Foundation	June 1-3	BWI - New Orleans	Y	Y	N	N/A
Congressional Black Caucus Policy & Leadership Institute	June 8-10	BWI - Charlotte	Y	Y	N	N/A
Cheapapeake, VA, NAACP	Sept. 15	Baltimore - Norfolk	Y	Y	N	N/A
Savannah State University	Dec. 7-8	BWI - Savannah, GA	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Elijah E. Cummings

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Baltimore Zoological Society, Baltimore, MD
Director	Eubie Blake Cultural Center, Baltimore, MD
Director	Learning to Lead, Inc., Baltimore, MD
Member	Morgan State University Board of Regents, Baltimore, MD
Member	University of Maryland School of Law Board of Visitors, Baltimore, MD

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 4

For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

④ MC

Randy "Duke" Cunningham
(Full Name)

2350 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-5452
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 51	☐ Officer Or Employee	Employing Office:
Report Type	[✓ ☑ Annual (May 15)]	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Randy "Duke" Cunningham	14 may 02

SCHEDULE I - EARNED INCOME

Name Randy "Duke" Cunningham

Page 2 of 4

List the source, type, and amount of earned Income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Encinitas Union School District	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Randy "Duke" Cunningham

Page 3 of 4

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Top Gun Enterprises - Sole Shareholder	$250,001 - $500,000	CAPITAL GAINS	$5,001 - $15,000	
	Mission Valley FCU	$15,001 - $50,000	INTEREST	$201 - $1,000	
	Union Bank Miramar Checking	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Union Bank Miramar Checking	$1,001 - $15,000	INTEREST	$1,001 - $2,500	
SP	Union Bank Miramar - IRA	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
	Union Bank Miramar - IRA	$15,001 - $50,000	INTEREST	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Randy "Duke" Cunningham

Page 4 of 4

JT	Congressional FCU Checking	$15,001 - $50,000	INTEREST	$1 - $200	
JT	Congressional FCU Savings	$50,001 - $100,000	INTEREST	$201 - $1,000	
DC	Union Bank Miramar Savings	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Union Bank Miramar Savings	$1,001 - $15,000	INTEREST	$1 - $200	
	Note secured by Deed of Trust located at Elsworth - parcel #386-410-28, debtor Calvin Goad (paid off in October 2001)	None	INTEREST	$15,001 - $50,000	

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UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** Page 1 of 9 For use by Members, officers, and employees

Danny K. Davis
(Full Name)

5956 W. Race Chicago, IL 60644
(Mailing Address)

(202) 225-5006
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: IL District: 7th	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Danny K. Davis	6-13-02

SCHEDULE I - EARNED INCOME

Name Danny K. Davis

Page 2 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Illinois	Spouse Pension	$30,118.68
Davis for Congress	Spouse Salary	$8,750
VALIC	Spouse IRA	$29,333

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Danny K. Davis

Page 3 of 9

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Greater Bethesda Church, Chicago, Illinois	Speech	March 18, 2001	$1,000
American Women Political Caucus, Springfield, Massachusetts	Speech	August 23, 2001	$3,500
Family Federation For World Peace, New York, New York	Speech	October 21, 2001	$1,000
Greater Shreveport Human Relations Commission	Speech	December 10, 2001	$500

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Danny K. Davis

Page 4 of 9

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Austin Bank Chicago	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	
	Community Bank of Lawndale	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	Pegasus Fund	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	
SP	Equitable IRA	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Unite Credit Union	$1 - $1,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Danny K. Davis

Page 5 of 9

SP	VALIC	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
	VALIC Annuity	$15,001 - $50,000	INTEREST	$201 - $1,000	
JT	Northwest Austin Council	$15,001 - $50,000	INTEREST- Note Owed Real Estate Sale	$2,501 - $5,000	

SCHEDULE VI - GIFTS

Name Danny K. Davis

Page 6 of 9

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Governor Ahmed Tinibo	Tribal Garmet (Male)	$150
Lagos State Nigeria	Tribal Garmet (Female)	$150
Lagos State Nigeria	African Mask	$100

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Danny K. Davis

Page 7 of 9

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Chinese National Association of Industry and Commerce	Jan. 8-13	Chicago, IL--Tiapei, Taiwan--Chicago, IL	Y	Y	Y	None
University of Arkansas Pine Bluff	Jan. 26-27	Chicago, IL--Pine Bluff, AR-Chicago, IL	Y	Y	N	None
Family Federation for World Peace	Jan. 27-28	Little Rock, AR-New York, New York--Chicago, IL	Y	Y	N	None
University Arkansas Pine Bluff	April 22	Chicago, IL--Pine Bluff, AR-Chicago, IL	Y	Y	N	None
Governor Bola A. Tinubu	May 26-31	Chicago, IL--Lagos, Nigeria--Chicago, IL	Y	Y	Y	None
St. Paul AME Church Pine Bluff, Arkansas	Aug. 19	Chicago, IL--Pine Bluff, AR-Chicago, IL	Y	Y	N	None
African American Women's Political Caucus	Aug. 23-24	Chicago, IL--Springfield, MA--Memphis, TN	Y	Y	N	None
Int. Group Ltd.	Sept. 10-14	Chicago, IL--Tele-Aviv, Israel--New York, New York	Y	Y	N	None
Los Angeles Chapter UAPB Alumni	Oct. 20	Chicago, IL--Los Angeles, CA	Y	Y	N	None
Family Federation for World Peace	Oct. 21	Los Angeles, CA--New York , New York--Chicago, IL	Y	Y	N	None

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Danny K. Davis

Page 8 of 9

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Greater Shreveport Human Relations Commission	Dec. 10-11	Chicago, IL--Shreveport, LA--Chicago, IL	Y	Y	N	None

SCHEDULE VIII - POSITIONS

Name Danny K. Davis

Page 9 of 9

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Streetwise Newspaper
Board Member	Prevention Partnership
Board Member	East West University
Advisory Board	Interfaith House

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 3
For use by Members, officers, and employees

(Office Use Only)

Jim Davis
(Full Name)

424 Cannon HOB Washington, DC 20515
(Mailing Address)

202-225-3376
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: FL District: 11	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim Davis	5/15/02

SCHEDULE I - EARNED INCOME

Name Jim Davis

Page 2 of 3

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Sur la Table	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jim Davis

Page 3 of 3

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
DC	DC (2) Certificates- Treasury Securities, State of New York	$15,001 - $50,000	N/A	$201 - $1,000	
	State of Florida Retirement System	$15,001 - $50,000	Deferred Benefit Plan	NONE	

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 8

For use by Members, officers, and employees

(Office Use Only)

JoAnn S. Davis
(Full Name)

4703 Davis Way P. O. Box 1045 White Marsh, VA 23183-1045
(Mailing Address)

202-225-4261
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representative	State: VA District: 01	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

SCHEDULE I - EARNED INCOME

Name JoAnn S. Davis

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Virginia State Retirement System Spouse	Retirement Pay for Spouse	n /a

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name JoAnn S. Davis

Page 3 of 6

	BLOCK A	BLOCK B	BLOCK C	BLOCK D	BLOCK E
	Asset and/or Income Source Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	**Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	**Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	**Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	**Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Sun Trust Savings	$1,001 - $15,000	Savings Account	$201 - $1,000	
JT	Edward Jones Investments Putnam Invt. Growth Opportunities	$1,001 - $15,000	DIVIDENDS	NONE	
SP	ICMA Retirement	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Merrill Lynch Sep IRA	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Sun America IRA	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Pepco Stocks	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name JoAnn S. Davis

Page 4 of 6

JT	Southern Co. Stocks	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Sun America Stocks: Anchor National ICAP Growth Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	Sun America Stocks: Gov't Quality Bond	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	102 Haverstraw Yorktown, Virginia	$50,001 - $100,000	RENT	$2,501 - $5,000	
JT	304-B Maple Ave Newport News, Virginia	$50,001 - $100,000	RENT	$2,501 - $5,000	
JT	386 Susan Constant Newport News, Virginia	$15,001 - $50,000	RENT	$2,501 - $5,000	
JT	56 Bedford Road	$50,001 - $100,000	RENT	$5,001 - $15,000	
JT	7 Red Cedar Way Newport News, Virginia	$50,001 - $100,000	RENT	$5,001 - $15,000	
	Thrift Savings Plan	$1,001 - $15,000	Other: (Please specify)/DIVIDENDS	$1 - $200	

SCHEDULE V - LIABILITIES

Name JoAnn S. Davis

Page 5 of 6

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Midland Mortgage Co Oklahoma City, OK	102 Haverstraw Yorktown, Virginia	$15,001 - $50,000
JT	Sun Trust Mortgage Richmond, VA	304 B Maple Newport News, VA	$15,001 - $50,000
JT	Township Five Newport News, VA	386 Susan Constant Newport News, VA	$15,001 - $50,000
JT	Midland Mortgage Oklahoma City, OK	56 Bedford Rd Newport News, VA	$50,001 - $100,000
JT	Midland Mortgage Oklahoma City, OK	7 Red Cedar Way Newport News, VA	$50,001 - $100,000

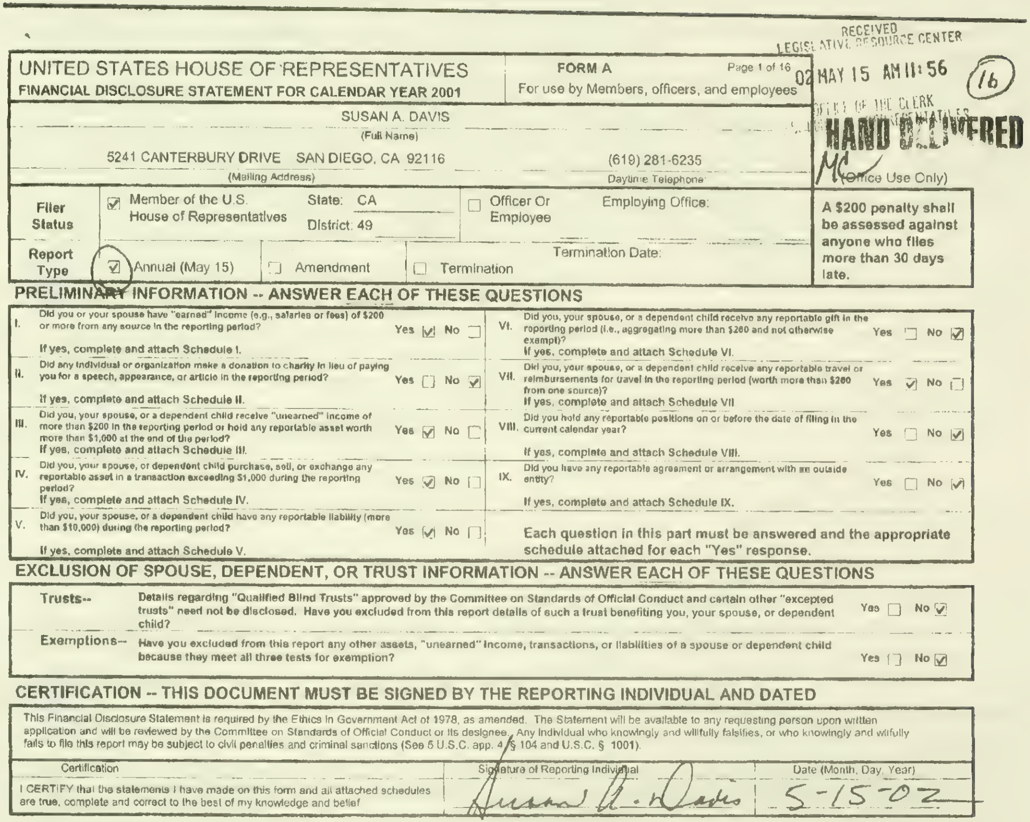
SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name JoAnn S. Davis

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
AIPAC	Aug.8-18	Richmond, VA-Israel-Richmond, VA	Y	Y	Y	n/a



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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 16
For use by Members, officers, and employees

SUSAN A. DAVIS
(Full Name)

5241 CANTERBURY DRIVE SAN DIEGO, CA 92116
(Mailing Address)

(619) 281-6235
Daytime Telephone

MC (Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 49	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Susan A. Davis	5-15-02

SCHEDULE I - EARNED INCOME

Name SUSAN A. DAVIS

Page 2 of 16

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
STATE OF CALIFORNIA	SPOUSE SALARY	$79,211
CENTRO DE SALUD-HEW	SPOUSE SALARY	$17,995

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

Page 3 of 16

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	WNB MONEY MKT ACCT	None		NONE	Other
	TD WATERHOUSE BANK	$1 - $1,000		NONE	
	JANUS INV BALANCED FD	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
	CITIZENS INDEX FUND	$1,001 - $15,000		NONE	
	DREYFUS GNMA FUND	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	JANUS INV WORLDWIDE FUND	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

Page 4 of 16

	STRONG ADVANTAGE FUND	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	P
SP	STRONG ADVISOR SMALL CAP	$1,001 - $15,000		NONE	P
	STRONG OPPORTUNITY FUND	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	P
	CITIZENS GLOBAL EQUITY FUND	None	DIVIDENDS	$201 - $1,000	S
	CITIZENS EMERGING GROWTH FUND	None	DIVIDENDS	$201 - $1,000	S
	THIRD AVE VALUE FUND	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	P
SP	NICM MONEY MARKET	$50,001 - $100,000	I/INTEREST	$1,001 - $2,500	
SP	AMGEN INC STOCK	$1,001 - $15,000		NONE	
SP	AT & T	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	AT & T WIRELESS	$1,001 - $15,000		NONE	Other
SP	AVAYA	$1 - $1,000		NONE	
SP	BANK OF AMERICA	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	COSTCO WHOLESALE CORP	$100,001 - $250,000		NONE	
SP	CHRYON CORP SOCK	$1 - $1,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

Page 5 of 18

SP	CYTOGEN CORP STOCK	$1 - $1,000		NONE	
SP	EMC CORP-MASS STOCK	$1,001 - $15,000		NONE	
SP	ENRON CORP STOCK	$1 - $1,000		NONE	
SP	FIDELITY CASH RESERVES	None		NONE	
SP	GENENTECH INC STOCK	$1,001 - $15,000		NONE	
SP	JOHNSON & JOHNSON STOCK	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	LEAP WIRELESS STOCK	$1,001 - $15,000		NONE	
SP	LUCENT TECH STOCK	$1,001 - $15,000		NONE	
SP	MERCK & CO STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	NCR CORP STOCK	$1 - $1,000		NONE	
SP	ORACLE CORP STOCK	$1,001 - $15,000		NONE	
SP	QUALCOMM INC STOCK	$50,001 - $100,000		NONE	
SP	SAFEGUARD SCIENTIFICS INC STOCK	$1,001 - $15,000		NONE	
SP	SUN MICROSYSTEMS INC STOCK	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

SP	WILLIAMS COMPANIES INC STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	WILLIAMS COMMUNICATIONS GROUP	$1 - $1,000		NONE	P
SP	TITAN CORP STOCK	None		NONE	E
SP	DREYFUS GNMA FUND	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	GUIDANT CORP	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
SP	INVESCO BLUE CHIP GROWTH	None	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	S
SP	JANUS INV OLYMPUS FD	None	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	S
SP	WHITE OAK GROWTH FD	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
SP	VANGUARD INDEX 500	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	VANGUARD INDEX 500	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	NICM MONEY MKT PORT	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
SP	INVESCO SECTOR FDS INC	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
SP	JANUS INV FUND	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
SP	NORTHERN FUNDS	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

JT	AEGON NV-ORD	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	ALCAN INC	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	AMYLIN PHARACEUTICALS	$1,001 - $15,000		NONE	
JT	BANK OF NEW YORK	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
JT	AMERICAN INTERNATIONAL GROUP	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
JT	BOEING CO STOCK	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
JT	EDISON INT STOCK	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
JT	HOME DEPOT	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
JT	RELIANT ENERGY INC STOCK	None	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	S
JT	WAL-MART STORES INC	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
JT	BCE INC STOCK	None	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	S
JT	BOISE CASCADE CORP STOCK	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
JT	CHARLES SCHWAB CORP	None	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	S
JT	CISCO SYSTEMS INC STOCK	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

Page 8 of 16

JT	CITIGROUP INC STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	COSTCO WHOLESALE CORP STOCK	$50,001 - $100,000		NONE	
JT	DEVELOPERS DIVERSIFIED REALTY STOCK	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	DOWNEY FINANCIAL STOCK	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
JT	AMERICAN ADVANTAGE FD	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
JT	EXXON MOBIL CORP STOCK	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	GENERAL ELECTRIC CO	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	
JT	HOMEFED CORP STOCK	None	DIVIDENDS	$1 - $200	S
JT	INTEL CORP STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	MSDW & CO STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	ORACLE CORP STOCK	$1,001 - $15,000		NONE	
JT	PROCTOR & GAMBLE STOCK	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	SCHLUMBERGER LTD STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	SOLECTRON CORP STOCK	$1,001 - $15,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

JT	SUN MICROSYSTEMS INC STOCK	$1,001 - $15,000		NONE	
JT	NORTEL NETWORKS CORP STOCK	None	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	S
JT	CHEVRONTEXACO CORP	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	TEXAS INSTRUMENTS INC STOCK	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	TRANSOCEAN SEDCO INC STOCK	None	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	S
JT	SACRAMENTO CA MUN UTIL DIST	$15,001 - $50,000	INTEREST	$1,001 - $2,500	
JT	VERIZON COMMUNICATIONS	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	INVESCO FDS- HEALTH SCIENCES	$15,001 - $50,000		NONE	
JT	VANGUARD INDEX 500	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	ALLETE INC	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
JT	ALLIANCE MUN INCOME FD	None	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	S
JT	INVESCO FDS-TELECOMMUNICATIONS	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
JT	INVESCO FDS- DYNAMIC FUNDS	None	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	S
JT	NORTHERN FUNDS	None	DIVIDENDS	$5,001 - $15,000	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name SUSAN A. DAVIS

Page 10 of 16

JT	NUVEEN CA MUN MKT OPP FUND	None	DIVIDENDS	$5,001 - $15,000	S
JT	NUVEEN MUN VALUE FUND	None	DIVIDENDS	$1,001 - $2,500	S
JT	PUTNAM CALIFORNIA TAX EXEMPT	None	DIVIDENDS	$5,001 - $15,000	S
JT	LOS GATOS CA UN SCH DIST	None		NONE	P
JT	4113-15 ARBOR VITAE SAN DIEGO, CA	$100,001 - $250,000	RENT	$5,001 - $15,000	
JT	CAL-AMER INC PROP IV	$1,001 - $15,000		NONE	
JT	RAINBOW EXIT LLC	$15,001 - $50,000		NONE	
DC	ALPERT FAMILY TRUST (SEE PAGE 16, FOOTNOTE 1)	None		NONE	
JT	UIT MSDW EQUITY FD (SEE PAGE 16, FOOTNOTE 2)	None		NONE	S

SCHEDULE IV - TRANSACTIONS

Name SUSAN A. DAVIS

Page 11 of 16

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	CITIZENS GLOBAL EQUITY FUND	S	6-20-01	$1,001 - $15,000
	STRONG ADVANTAGE FUND	P	6-20-01	$1,001 - $15,000
	STRONG OPPORTUNITY FUND	P	6-21-01	$1,001 - $15,000
	THIRD AVE VALUE FUND	P	6-21-01	$1,001 - $15,000
	CITIZENS EMERGING GROWTH FUND	S	6-20-01	$1,001 - $15,000
SP	GUIDANT CORP	S	1-25-01	$1,001 - $15,000
SP	INVESCO BLUE CHIP GROWTH	S	6-20-01	$1,001 - $15,000
SP	JANUS INV OLYMPUS FD	S	6-20-01	$1,001 - $15,000
SP	WHITE OAK GROWTH FD	S	6-20-01	$1,001 - $15,000
SP	INVESCO SECTOR FDS INC	S	12-27-01	$1,001 - $15,000
SP	JANUS INV FUND	S	12-27-01	$1,001 - $15,000
SP	AT & T WIRELESS	Other	7-09-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name SUSAN A. DAVIS

Page 12 of 16

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	STRONG ADVISOR SMALL CAP	P	6-21-01	$1,001 - $15,000
JT	BANK OF NEW YORK	P	1-25-01	$1,001 - $15,000
JT	AMERICAN INTERNATIONAL GROUP	P	1-25-01	$15,001 - $50,000
JT	BOEING CO STOCK	S	1-25-01	$1,001 - $15,000
JT	EDISON INT STOCK	S	1-08-01	$1,001 - $15,000
JT	HOME DEPOT	P	1-25-01	$1,001 - $15,000
JT	RELIANT ENERGY INC STOCK	S	1-08-01	$1,001 - $15,000
JT	WAL-MART STORES INC	P	1-25-01	$15,001 - $50,000
JT	BCE INC STOCK	S	12-26-01	$1,001 - $15,000
JT	BOISE CASCADE CORP STOCK	S	12-26-01	$1,001 - $15,000
JT	CHARLES SCHWAB CORP	S	12-26-01	$1,001 - $15,000
JT	NORTEL NETWORKS CORP STOCK	S	12-26-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name SUSAN A. DAVIS

Page 13 of 16

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	ALLETE INC	S	12-26-01	$1,001 - $15,000
JT	ALLIANCE MUN INCOME FD	S	6-20-01	$1,001 - $15,000
JT	INVESCO FDS- TELECOMMUNICATIONS	S	12-27-01	$1,001 - $15,000
JT	INVESCO FDS- DYNAMIC FUNDS	S	6-20-01	$1,001 - $15,000
JT	NORTHERN FUNDS	S	12-27-01	$1,001 - $15,000
JT	NUVEEN CA MUN MKT OPP FUND	S	6-20-01	$1,001 - $15,000
JT	NUVEEN MUN VALUE FUND	S	6-20-01	$1,001 - $15,000
JT	PUTNAM CALIFORNIA TAX EXEMPT	S	6-20-01	$1,001 - $15,000
JT	LOS GATOS CA UN SCH DIST	P	12-27-01	$15,001 - $50,000
JT	UIT MSDW EQUITY FD (SEE PAGE 16, FOOTNOTE 3)	S	7-10-00	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name SUSAN A. DAVIS

Page 14 of 16

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	BANK UNITED OF TEXAS	MORTGAGE ON 4113-15 ARBOR VITAE SAN DIEGO, CA	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name SUSAN A. DAVIS

Page 15 of 16

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
CALIFORNIA COUNCIL FOR INT'L TRADE	JAN. 10-12	WILLIAMSBURG, VA.-- MONTEREY, CA.-- SAN DIEGO, CA	Y	Y	N	N/A

FOOTNOTES

Name SUSAN A. DAVIS

Page 16 of 16

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III, Page 10	Trust dissolved and transferred to non-dependent child	Alpert Family Trust
2	Schedule III, Page 10	Sale 7/10/00 inadvertently omitted from previous year's report	UIT MSDW EQUITY FD
3	Schedule IV, Page 13	Sale 7/10/00 inadvertently omitted from previous year's report	UIT MSDW EQUITY FD

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

③ LEGISLATIVE RESOURCE CENTER
2002 MAY 10 PM 3:17
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Thomas M. Davis, III
(Full Name)

3304 Juniper Way, Falls Church, VA 22044
(Mailing Address)

Daytime Telephone: 202-225-1492

Filer Status	☒ Member of the U.S. House of Representatives	State: VA District: 11	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A **$200 penalty** shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (*Month, Day, Year*)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tom Davis	5/10/02

Name Tom Davis

Page 2 of 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Davis, Hall & Hafner	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name *Tom Davis* Page *3* of *5*

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster	Indefinite																		Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Virginia State Public Authority Bonds				X									X										X								
	Oceana Prop. Partnership VA Beach, VA				X										X						X											
	Fairfax County Public Improvement Funds				X											X										X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Tom Davis

Page 4 of 5

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Charles Schwab Tax-Exempt money-fund							X								X								X								
	Black + Decker				X									X										X								
	Savings Account – First Union Bank				X									X										X								
	PRC, Inc. – 401K Plan							X								X									X							
	401K Plan – deferred comp Fairfax county						X									X									X							

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Name Tom Davis | Page 5 of 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Republicans Abroad	Nov. 2-5	Wash DC - Costa Rica - Wash DC	Y	Y	Y	N
	United Hellenic American Congress	Aug. 26-30	Wash DC - Greece - Wash DC	Y	Y	Y	N
	US-Panama Business Council	May 28-31	Wash DC - Panama-[illegible] - Wash DC	Y	Y	Y	N
	Consumer Electronics Assoc.	Jan. 7-9	Wash DC - Las Vegas - Wash DC	N	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2000

FORM A
For use by Members, officers, and employees

John Nathan Deal
(Full Name)

8805 Skitts Mountain Road Clermont, GA 30527
(Mailing Address)

202-225-5211
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status ☑ Member of the U.S. House of Representatives State: GA District: 9 ☐ Officer Or Employee Employing Office:

Report Type ☐ Annual (May 15) ☑ Amendment ☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☐ No ☑
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Nathan Deal	6/14/02

SCHEDULE I - EARNED INCOME

Nam John Nathan Deal

ist the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more uring the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding 1,000.

Source	Type	Amount
Hall County Board of Education	Spouse Salary	N/A
Recovery Sources Inc., Gainesville, GA	Approved compensation from Family owned business	$21,100
Farm Income (personal farm)	Sale of Cattle	$1,100

Jun-15-02 12:26pm From-CONGRESSMAN NATHAN DEAL 028 298+08 T-182 P 05/19 F-742

SCHEDULE II - PAYMENTS IN LIEU OF HONO

Nam

ist the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu f an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An nvelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount

SCHEDULE III - ASSETS AND "UNE

Nam John Nathan Deal

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	212 Green Street, Gainesville, Georgia- half interest	$100,001 - $250,000	RENT	$15,001 - $50,000	
JT	8811 Skitts Mountain Road, Clermont, GA	$15,001 - $50,000	RENT	NONE	
	IRA- Regions Bank, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
SP	IRA- Regions Bank, Gainesville, GA	$1,001 - $15.000	INTEREST	NONE	
	IRA- Community Bank and Trust, Cornelia, GA	$1,001 - $15,000	INTEREST	NONE	
	Aim Constallation Mutual Fund Merrill Lynch Gainesville, GA	$15,001 - $50,000	INTEREST	NONE	

SCHEDULE III - ASSETS AND "UNE

Nam John Nathan Deal

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	American Euro Pacific Mutual Fund Merrill Lynch, Gaiensville,GA	$15,001 - $50,000	DIVIDENDS	NONE	
JT	Putnam New Op Fund	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	S
JT	Washington Mutual Investors Fund, Inc.	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	S
	Wachovia Corp Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
	Gainesville Bank and Trust Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Regions Bank Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNE

Nam John Nathan Deal

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
North Georgia Farm Credit Stcok	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	
Gainesville Bank and Trust Checking Account	$1,001 - $15,000	No Interest	NONE	
Regions Bank Checking Account	$1,001 - $15,000	No Interest	NONE	
Congressional Federal Credit Union	$1 - $1,000	INTEREST	$1 - $200	
Recovery Services Inc., Stock	$50,001 - $100,000	DIVIDENDS	NONE	
Thrift Savings Plan	$100,001 - $250,000	DIVIDENDS/INTEREST	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNE

Nam John Nathan Deal

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1/2 Interest in 29.74 acres, Gainesville-GA (50% value and income reorted here	$250,001 - $500,000	RENT	$15,001 - $50,000	
1/2 Interest in Freightliner Truck	$15,001 - $50,000	RENT	$15,001 - $50,000	
7 acres, 8778 Skitts Mountain Road, Clermont, GA	$100,001 - $250,000	RENT	NONE	S
American Washington Mutual Fund Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	

SCHEDULE III - ASSETS AND "UNE

Nam John Nathan Deal

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Davis New York Venture Mutual Fund Merrill Lynch, Gainesville Georgia	$15,001 - $50,000	INTEREST	NONE	
Franklin California Growth Mutual Fund, Merrill Lynch, Gainesville, Georgia	$15,001 - $50,000	INTEREST	NONE	
Goldman Sacks Growth Mutual Fund, Merrill Lynch, Gainesville, Georgia	$15,001 - $50,000	INTEREST	NONE	
Ivey International Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	

SCHEDULE III - ASSETS AND "UNE

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	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Kemp-Dreman High Return Mutual Fund, Merrill Lynch, Gainesville, Georgia	$15,001 - $50,000	INTEREST	NONE	
	Liberty Newport Tiger Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
	Putnam New Opportunities Mutual Fund, Merrill Lynch, Gainesville, Georgia	$15,001 - $50,000	INTEREST	NONE	
SP	Davis New York Venture Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
SP	Franklin California Growth Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	

SCHEDULE III - ASSETS AND "UNE

Nam John Nathan Deal

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Goldman Sacks Growth Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
SP	Ivey International Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
SP	Kemp-Dreman High Return Mutual Fund, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
SP	Money Market, Merrill Lynch, Gainesville, Georgia	$1,001 - $15,000	INTEREST	NONE	
	Money Market, Merrill Lynch, Gainesville, Georgia	$15,001 - $50,000	INTEREST	NONE	

SCHEDULE IV - TRANSACTIONS

Nam

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction

SCHEDULE V - LIABILITIES

Nam John Nathan Deal

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Gainesville Bank and Trust, Gainesville, GA (1/2 amount reported)	business loan, property, 1602 Athens Highway, Gainesville	$100,001 - $250,000
	Gainesville Bank and Trust Gainesville, GA (1/2 amount reported)	Endorser, Business loan, 1602 Athens Highway,	$50,001 - $100,000
	Gainesville Bank and Trust, Gainesville, GA (1/2 amount reported)	business loan, 1602 Athens Highway	$50,001 - $100,000
	Gainesville Bank and Trust, Gainesville, GA (1/2 amount reported)	business loan, 1602 Athens Highway	$15,001 - $50,000
	Gainesville Bank and Trust, Gainesville, GA	Mortgage on 88 acres Skitts Mountain Road	$100,001 - $250,000
	Gainesville Bank and Trust, Gainesville GA	Mortgage on 5.5 acres on Skitts Mountain Road	$50,001 - $100,000

SCHEDULE VI - GIFTS

Nam

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during he year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally ndependent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold. Note: The gift rule House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value

SCHEDULE VII - TRAVEL PAYMENTS AN

Nam

dentify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, our spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the mount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the ponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under he Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a pouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
			Y	Y	Y	

SCHEDULE VIII - POSITIONS

Nam John Nathan Deal

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, epresentative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any ducational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an onorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Deal and Jarrard- real estate partnership
Secretary- Treasurer	Recovery Services Inc.
Partner	C&D Enterprises- real estate partnership

SCHEDULE IX - AGREEMENTS

Nam	

dentify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 APR 18 PM 2: 35
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(9)

MC HAND DELIVERED
(Office Use Only)

Peter A. DeFazio (Full Name)
2134 RHOB (Mailing Address)
225-6416 Daytime Telephone:

Filer Status ☒ Member of the U.S. House of Representatives State: OR District: 04 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		15 Apr 02

Name DeFazio

Page 2 of

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. GOVT	SELF SALARY	
	CITY OF EUGENE OR	SPOUSE SALARY	

For payments to charity in lieu of honoraria, use Schedule II.

Name

Page 3 of

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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Name DeFazio

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

BLOCK A				BLOCK B												BLOCK C							BLOCK D											BLOCK E
				A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
SP, DC, JT				None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP,		SP	Mega Corp. Stock					X								X										X								P
DC,	Examples:		Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
SELF			FERS Deferred Comp							X																N/A								
SELF			IRA																															
			T Rowe Price EQ Y			X																	X											
			Domini Soc EQ			X																	X											
			PCLN stock		X																		X											
SELF			Oakmark Select			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DeFazio

Page 5 of

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
Self	Oakmark Money Mkt		X											X								X										
Self	Dominion Resources			X										X								X										
SP	IRA																															
"	Gabelli Global Telecom			X																	X											
"	Berger Balanced			X																	X											
"	Invesco Dynamics			X																	X											
SP	Deferred Comp																															
	VALIC					X											N/A															
	Nationwide					X																										
SP	Sentinel Bal Fund				X												X								X							
SP	Sentinel Bond Fund					X															X											
SP	Sentinel Govt Sec Fund				X																X											
Self	Waterhouse	X														X	X					X										S
JT	1/4 Share Rental				X																											
	Property 36 Hempleman Dr														X								X									P
	Akaroa N.Z.																															

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SCHEDULE IV — TRANSACTIONS

Name DeFazio

Page 6 of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
SELF	OAKMARK SELECT FUND	X			1/22/01	X									
SELF	" " FUND	X			12/24/01	X									
SELF	DOMINI SOC EQ FUND (WATER HOUSE)		X		12/20	X									
SELF	HAIN STOCK (WATER HOUSE)		X		12/20	X									
SELF	HAIN STOCK (")	X			2/28	X									
SELF	" " (")		X		2/12	X									
SELF	" " (")	X			2/01	X									
JT	1/4 SHARE 36 HEMPLEMAN DRIVE AKAROA N.Z.	X			3/15/01		X								

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Name DeFazio

Page 7 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	COUNTRYWIDE FUNDING	½ INTEREST MORTGAGE	X									
		53880 PINE GROVE, LAPINE OR										
JT	BANK OF NEW ZEALAND, AKAROA	¼ INTEREST MORTGAGE	X									
		36 HEMPLEMAN DRIVE										
		AKAROA N.Z.										

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	NONE	

Use additional sheets if more space is required.

Name DeFazio | Page 8 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American Assoc of Airline Execs	1/6 - 11	Portland – Maui – Portland	Y	Y	Y	N

Name DeFazio	Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	None

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
		None

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees
Page 1 of

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES

(7) MC

Diana Louise DeGette (Full Name)	(Office Use Only)
1530 Longworth HOB Washington, DC 20515 (Mailing Address)	202-225-4431 Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: CO District: 01	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Diana L. DeGette	5-14-02

SCHEDULE I - EARNED INCOME

Name Diana Louise DeGette

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
McKenna & Cuneo, LLP	Spouse's share of partnership income	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Diana Louise DeGette

Page 3 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	290 Elm Street, Denver	$500,000-$1,000,000	Rent	$5,001-$15,000	N/A
JT	Wells Fargo Bank West, NA	$1,001-$15,000	Interest	$1 - $200	N/A
JT	Fidelity Cash Reserves	$1,001-$15,000	Interest	$1 - $200	N/A
JT	Cisco Common Stock	$1,001 - $15,000	NA	NONE	P
	Fidelity Aggressive Growth (IRA)	$1,001 - $15,000	Capital Gains	$1-$200	P
	Fidelity Magellan Fund (IRA)	$1,001 - $15,000	Capital Gains	$201 - $1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Diana Louise DeGette

Page 4 of 7

	Fidelity Growth Company (IRA)	$1,001 - $15,000	Capital Gains	$201 - $1,000	P
	Public Employees Retirement Association	$1,001 - $15,000	Interest	$1 - $200	N/A
SP	Boeing Company Common Stock (IRA)	$1,001 - $15,000	Dividends	$1 - $200	N/A
SP	Walt Disney Company Common Stock (IRA)	$15,001 - $50,000	Dividends	$201 - $1,000	N/A
SP	Procter and Gamble Company Common Stock (IRA)	$1,001 - $15,000	Dividends	$1 - $200	N/A
SP	Fidelity Growth Company (IRA)	$15,001 - $50,000	Capital Gains	$2,501 - $5,000	P
SP	Fidelity Growth and Income (IRA)	$1,001 - $15,000	Capital Gains	$201 - $1,000	P
SP	Fidelity Magellan Fund (IRA)	$1,001 - $15,000	Capital Gains	$1 - $200	P
SP	Fidelity Select Electronics (IRA)	$1,001 - $15,000	N/A	NONE	
SP	Fidelity Select Technology (IRA)	$1,001 - $15,000	N/A	NONE	
SP	Fidelity Aggressive Growth (IRA)	$1,001 - $15,000	Capital Gains	$1 - $200	P
SP, IRA	Cisco Common Stock	$1,001 - $15,000	N/A	NONE	P
SP	McKenna & Cuneo 401K Profit Sharing and Defered Compensation Plan	$15,001 - $50,000	N/A	N/A	P

SCHEDULE IV - TRANSACTIONS

Name Diana Louise DeGette

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Fidelity Growth Company	Sold	4/19/2001	$1,001 - $15,000
JT	Cisco Common Stock	Purch	4/23/2001	$1,001 - $15,000
SP	Cisco Common Stock	Purch	4/24/2001	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Diana Louise DeGette

Page 6 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Wells Fargo Home Mortgage	Mortgage on Rental Property	$250,001 - $500,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Diana Louise DeGette

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute Congressional Retreat	Feb. 16-18	Washington, DC -- Tampa, Florida-- Washington, DC	Y	Y	Y	None

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7
For use by Members, officers, and employees

7
MC
LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES
INSIDE MAIL
(Office Use Only)

Diana Louise DeGette
(Full Name)

1530 Longworth HOB Washington, DC 20515
(Mailing Address)

202-225-4431
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: CO District: 01	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Diana L. DeGette	5-14-02

SCHEDULE I - EARNED INCOME

Name Diana Louise DeGette

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
McKenna & Cuneo, LLP	Spouse's share of partnership income	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Diana Louise DeGette

Page 3 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year
JT	290 Elm Street, Denver	$500,000- $1,000,000	Rent	$5,001-$15,000	N/A
JT	Wells Fargo Bank West, NA	$1,001-$15,000	Interest	$1 - $200	N/A
JT	Fidelity Cash Reserves	$1,001-$15,000	Interest	$1 - $200	N/A
JT	Cisco Common Stock	$1,001 - $15,000	NA	NONE	P
	Fidelity Aggressive Growth (IRA)	$1,001 - $15,000	Capital Gains	$1-$200	P
	Fidelity Magellan Fund (IRA)	$1,001 - $15,000	Capital Gains	$201 - $1,000	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Diana Louise DeGette

Page 4 of 7

	Fidelity Growth Company (IRA)	$1,001 - $15,000	Capital Gains	$201 - $1,000	P
	Public Employees Retirement Association	$1,001 - $15,000	Interest	$1 - $200	N/A
SP	Boeing Company Common Stock (IRA)	$1,001 - $15,000	Dividends	$1 - $200	N/A
SP	Walt Disney Company Common Stock (IRA)	$15,001 - $50,000	Dividends	$201 - $1,000	N/A
SP	Procter and Gamble Company Common Stock (IRA)	$1,001 - $15,000	Dividends	$1 - $200	N/A
SP	Fidelity Growth Company (IRA)	$15,001 - $50,000	Capital Gains	$2,501 - $5,000	P
SP	Fidelity Growth and Income (IRA)	$1,001 - $15,000	Capital Gains	$201 - $1,000	P
SP	Fidelity Magellan Fund (IRA)	$1,001 - $15,000	Capital Gains	$1 - $200	P
SP	Fidelity Select Electronics (IRA)	$1,001 - $15,000	N/A	NONE	
SP	Fidelity Select Technology (IRA)	$1,001 - $15,000	N/A	NONE	
SP	Fidelity Aggressive Growth (IRA)	$1,001 - $15,000	Capital Gains	$1 - $200	P
SP, IRA	Cisco Common Stock	$1,001 - $15,000	N/A	NONE	P
SP	McKenna & Cuneo 401K Profit Sharing and Defered Compensation Plan	$15,001 - $50,000	N/A	N/A	P

SCHEDULE IV - TRANSACTIONS

Name Diana Louise DeGette

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Fidelity Growth Company	Sold	4/19/2001	$1,001 - $15,000
JT	Cisco Common Stock	Purch	4/23/2001	$1,001 - $15,000
SP	Cisco Common Stock	Purch	4/24/2001	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Diana Louise DeGette	Page 6 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Wells Fargo Home Mortgage	Mortgage on Rental Property	$250,001 - $500,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Diana Louise DeGette

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute Congressional Retreat	Feb. 16-18	Washington, DC – Tampa, Florida-- Washington, DC	Y	Y	Y	None

HAND DELIVERED

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2002 MAY 15 AM 9:47

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6
For use by Members, officers, and employees

William D. Delahunt
(Full Name)

1317 Longworth House Office Building Washington, DC 20515
(Mailing Address)

202-225-3111
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: MA District: 10	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	William D. Delahunt	May 14, 2002

SCHEDULE I - EARNED INCOME

Name William D. Delahunt

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Commonwealth of Massachusetts Retirement System	Pension	$55,234

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William D. Delahunt

Page 3 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Citizens Bank, Quincy MA	$1,001 - $15,000	Interest	$201 - $1,000	
	Commonwealth of Massachusetts Deferred Compensation Plan	$250,001 - $500,000	Interest	$15,001 - $50,000	
JT	Janus Global Life Mutual Fund	$15,001 - $50,000	Dividends	NONE	P
JT	Janus Special Situation Fund	$1,001 - $15,000	Dividends	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name William D. Delahunt

Page 4 of 6

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Janus Special Situation Fund	P	Jan-July 01	$1,001 - $15,000
JT	Janus Global Life Mutual Fund	P	Jan-Dec 01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name William D. Delahunt

Page 5 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
USA Rice Federation	April 10-13	Miami-Havana-Miami	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name William D Delahunt

Page 6 of 6

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	Massachusetts Association for Mental Health

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(13) LEGISLATIVE RESOURCE CENTER
MC 2002 MAY 15 PM 3:01
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Rosa L. DeLauro (Full Name)

49 Huntington Street (Mailing Address)

New Haven, CT 06511

(202) 225-3661 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives	State: CT District: 3rd	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		2/14/02

Name Rosa L. DeLauro | Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Greenberg Quinlan Research, Inc.	Spouse Salary	N/A
	Greenberg Research, Inc.	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Rosa L. DeLauro

Page 1 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	Chase Manhattan Escrow			X												X						X										
	Fleet, CT Scholarship Fund			X												X						X										
JT	Fleet Bank-Checking			X												X						X										
JT	Sequoia Nat'l Bank-DC Chkg				X											X								X								
S	Sequoia Nat'l Bank-DC Svgs			X												X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Rosa L. DeLauro

Page 2 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000								None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
JT	Merrill Lynch-Joint																															
	American Wash. Mut. Invest					X								X			X								X							P
	Davis Ser Finan Fund B			X																	X											
	Pimco Innovation Fund				X												X					X										
	Putnam Voyager Fund II				X																X											
	Merrill Lynch																															
	Aim Value Fund			X													X					X										
	ML Fund Growth B			X																	X											
	Aim International Fund			X																	X											
	ML Global Value Fund				X												X						X									
	Aim Blue Chip Fund			X																	X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Rosa L. DeLauro

Page 3 of 6

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	TIAA RETRMT				X											X									X							
SP	CREF RETRMT					X															X											
	TIAA RETRMT				X											X								X								
	CREF RETRMT					X															X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Rosa L. DeLauro

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	MERRILL LYNCH-GREENBERG																															
	QUINLAN RESEARCH P/S:																															
	Zero Treasury				X																X											
	Zero Financing Corp			X																	X											
	Nations Marsico Fd				X																X											
	Pimco Innovation Fd			X																	X											
	Putnam Voyager Fd II	X																			X											S
	Munder Net Net Fd	X																			X											S
	Davis NY Venture Fd A						X							X								X										
	Amer Wash Mutual Inv Fd				X									X			X						X									P
	ML CMA MMF			X										X								X										
	American Euro Pacific Fd			X										X								X										
	American Growth Fd of Amer			X										X								X										
	American New Perspective Fd			X										X								X										
	Putnam Fd for Growth & Inc			X										X			X						X									P
	Pimco Total Return Mort Fd			X										X			X						X									P

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SCHEDULE III — ASSETS AND “UNEARNED” INCOME

Continuation Sheet (if needed)

Name Rosa L. DeLauro

Page 5 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	The following asset is held in joint name with mother, Louise DeLauro for estate purposes only. Asset is under control of and all income is reported by joint tenant, Louise DeLauro.																															
	Fleet Checking			X																	X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Rosa L. DeLauro

Page 6 of 6.

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000, 001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
SP	Greenberg Quinlan Research Inc-67% owner 10 G Street, NE Wash, DC Polling/consulting services										X			SEE STATEMENT I							X											
SP	Greenberg Research Inc. 100% owner 10 G Street, NE Wash, DC Strategic Consulting							X						SEE STATEMENT II							X											

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Name Rosa L. DeLauro

Page 1 of 2

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	MERRILL LYNCH-JOINT														
	American Wash Mutual Investors	X			12/13/01	X									

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Name Rosa L. DeLauro

Page 2 of 2

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	MERRILL LYNCH-GREENBERG QUINLAN RESEARCH, INC.														
	Profit Sharing:														
	Putnam Voyager Fund II		X		10/01/01	X									
	Putnam Fund for Growth & Income	X			10/01/01	X									
	Pimco Total Return Mortgage Fund	X			10/03/01	X									
	Munder Net Net Fund		X		10/03/01	X									
	American Washington Mutual Investors Fund	X			10/03/01	X									

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Name Rosa L. DeLauro **Page** 1 **of** 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Merrill Lynch, Washington, DC	Loan			X							
JT	Citibank, S. Hackensack, NY	Revolving charge account		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Rosa L. DeLauro	**Page** 1 **of** 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Fellow	Timothy Dwight College - Yale University
Director	(Hippy USA) Home Instruction Program for Preschool Youngsters
Director	Kids for Life
Director	Women's Campaign School - Yale University

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

Rosa L. DeLauro
49 Huntington Street
New Haven, CT 06511

House of Representatives, CT, 3rd District

ATTACHMENTS: BASIS OF VALUATION

Statement I. Schedule III. Page 6:

Greenberg Quinlan Research, Inc. – Ownership value based on an independent business valuation.

Statement II. Schedule III. Page 6:

Greenberg Research Inc. – Ownership value based on an independent business valuation.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

21

LEGISLATIVE RESOURCE CENTER

2002 MAY 29 AM 11: 04

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Thomas Dale Delay (Full Name)

H-107, The Capitol
Washington, DC 20515 (Mailing Address)

202/225-0197 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives	State: TX District: 22	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A **$200 penalty** shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☒	No ☐
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Thomas D. DeLay	5/29/02

Name Tom DeLay | Page 2 of 21

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Alexander Strategy Group	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Tom DeLay

Page 3 of 21

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	Exxon Mobil Com St					X								X										X								
JT	Congressional Credit Union		X													X						X										
JT	Wells Fargo Bank			X												X						X										
SP	Charles Schwab MM				X											X						X										

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name Tom Delay

Page 4 of 21

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Exxon Mobil Common Stock	X			3-9-01	X									
	Series of Dividend Reinvestments -				6-11-01										
	Total Greater than $1,000				7-11-01										
					9-10-01										
					12-10-01										

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Name Tom DeLay | Page 5 of 21

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Bracewell & Patterson, LLP, Houston, TX	Legal Expense (DCCC v. DeLay, et al – case concluded and dismissed w/prejudice, 4/5/01)				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
See attached list	Contribution to Legal Expense Trust Fund (Legal Expense Trust Fund Reports have been previously disclosed in public records filed at Legislative Resources)	See list

Use additional sheets if more space is required.

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The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations	Amount
R.J. Reynolds Tobacco Co. Winston-Salem, NC	$ 5,000.00
GAF Materials Corporation Wayne, NJ	$ 5,000.00
ISP Wayne, NJ	$ 5,000.00
Watts For Congress Norman, OK	$ 5,000.00
Maxxam, Inc. Houston, TX	$ 5,000.00
Reliant Resources, Inc. Houston, TX	$ 5,000.00
American Renewal PAC Alexandria, VA	$ 5,000.00
William Roberts Wilson, Jr., PA Flowood, MS	$ 1,000.00
SMTM Consulting Lindale, TX	$ 2,000.00
Hale/Associates, Inc. Houston, TX	$ 1,000.00
Hermes Reed Architects Houston, TX	$ 1,000.00
DEC, Dannenbaum Engineering Corp Houston, TX	$ 5,000.00
Geocontrol Systems, Inc. Houston, TX	$ 1,000.00
H & I Equipment, Inc. Houston, TX	$ 2,500.00
Global Marine Corporate Services, Inc. Houston, TX	$ 5,000.00
Hou-Tra International Houston, TX	$ 3,000.00

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The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations		Amount
Traffic Engineers, Inc. Houston, TX	$	5,000.00
Wally Herger For Congress Committee Chico, CA	$	1,000.00
Phillips International, Inc. Potomac, MD	$	5,000.00
Leggett & Platt, Inc. Carthage, Missouri	$	5,000.00
GenCorp Sacramento, CA	$	5,000.00
Traditional Values Coalition Education & Legal Institute, Inc. Anaheim, CA	$	5,000.00
Bayou Leader PAC Alexandria, VA	$	5,000.00
Friends of Roy Blunt Springfield, MO	$	5,000.00
Friends of Cliff Stearns Silver Springs, FL	$	5,000.00
California Correctional Peace Officers Association Sacramento, CA	$	5,000.00
The Billy Tauzin Committee Thibodaux, LA	$	5,000.00
Hoosier PAC Washington, DC	$	5,000.00
The Spirit of Democratic Capitalism Fund Washington, DC	$	5,000.00
New Century Leadership Committee Alexandria, VA	$	2,500.00

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The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations	Amount
Rely on Your Beliefs Fund Arlington, VA	$ 5,000.00
Distilled Spirits Council US Washington, DC	$ 2,500.00
Eberle Communications Group, Inc. McLean, VA	$ 2,500.00
Sager Family Limited Partnership Austin, TX	$ 2,500.00
Reform PAC of Illinois Joliet, IL	$ 2,000.00
Fund For Living American Govt Bethesda, MD	$ 2,500.00
Friends of Jack Kingston Savannah, GA	$ 1,000.00
Ryan For Congress Janesville, WI	$ 1,000.00
T.E.A.M. PAC Scottsdale, AZ	$ 1,000.00
Pickering For Congress Committee Alexandria, VA	$ 1,000.00
Pat Toomey For Congress Committee Allentown, PA	$ 1,000.00
Fund For A Free Market America State Acct Washington, DC	$ 1,000.00
LEHI Committee Washington, DC	$ 1,000.00
William J. Lehrfeld, PC Bethesda, MD	$ 1,000.00
Mike Pence Committee Anderson, IN	$ 1,000.00
Ergon, Inc. Jackson, MO	$ 5,000.00

9/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations	Amount
Steven LaTourette For Congress Committee Painesville, OH	$ 1,000.00
Hale Mills Construction, Inc. Houston, TX	$ 2,500.00
American Prosperity PAC State Fund Washington, DC	$ 1,000.00
Oregon Smith Fund Medford, OR 97501	$ 1,000.00
Citizens For Gillmor Old Fort, OH 44861	$ 2,000.00
American Dream PAC San Antonio, TX	$ 5,000.00
Bachus Reelection Birmingham, AL	$ 4,000.00
Nor-Stick Corporation Englewood Cliffs, NJ	$ 2,000.00
Westpac Non-Federal Account Washington, DC	$ 2,000.00
Bacardi USA, Inc. Miami, FL	$ 3,000.00
Pike Electric Inc. PAC Mount Airy, NC	$ 1,000.00
Thune For Congress Sioux Falls, SD	$ 1,000.00
Walsh For Congress Committee Syracuse, NY	$ 1,000.00
Friends of Sam Johnson Plano, TX	$ 1,000.00
David R. Brown Revocable Trust Oklahoma City, OK	$ 1,000.00
Robert Aderholt For Congress Haleyville, AL	$ 1,000.00

10/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations	Amount
Eric Cantor For Congress Richmond, VA	$ 1,000.00
Sonny Callahan For Congress Committee Mobile, AL	$ 1,000.00
Green For Congress Green Bay, WI	$ 1,000.00
Souder For Congress, Inc. Grabill, IN	$ 1,000.00
Tancredo For Congress, Inc. Littleton, CO	$ 1,000.00
Hobson For Congress Springfield, OH	$ 1,000.00
Lucas For Congress Committee Oklahoma City, OK	$ 1,000.00
New American Century PAC Non-Federal Account Washington, DC	$ 1,000.00
Friends of Dave Weldon Melbourne, FL	$ 1,000.00
The Columbus Organization King of Prussia, PA	$ 1,000.00
Paxson Communications Corp. West Palm Beach, FL	$ 2,500.00
Nissan North America, Inc. Gardena, CA	$ 5,000.00
ATA and Affiliated Companies Alexandria, VA	$ 5,000.00
Otter For Idaho Eagle, ID	$ 500.00
Walter Jones For Congress Raleigh, NC	$ 500.00

11/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations		**Amount**
Bass Victory Committee Concord, NH	$	1,000.00
Verizon Services Group Austin, TX	$	5,000.00
WWTL 700 AM International Broadcasting Corp Washington, DC	$	5,000.00
Cooksey For Senate Monroe, LA	$	1,000.00
Citizen's PAC McLean, VA	$	1,000.00
Bob Barr For Congress Marietta, GA	$	1,000.00
Friends of Bill Zeliff Jackson, NH 03846	$	1,000.00
Mr. Tom Bonner Washington, DC	$	1,000.00
Charles J. Wyly, Jr. Dallas, TX	$	1,000.00
Bell South Tallahassee, FL	$	3,500.00
People For Enterprise, Trade & Economic Growth (Pete PAC) Alexandria, VA	$	5,000.00
Philip Morris Companies, Inc. New York, NY	$	5,000.00
IGT Reno, NV	$	5,000.00
Valhi, Inc. Dallas, TX	$	5,000.00
Contran Corporation Dallas, TX	$	5,000.00

12/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Corporations	Amount
Superior California State Leadership Fund Sacramento, CA	$ 1,000.00
Panda Energy Management, LP Dallas, TX	$ 5,000.00
Brookfeagin Real Estate, Inc. Dallas, TX	$ 2,000.00
Allegiance Telecom Service Corporation Dallas, TX	$ 2,500.00
Life Care Management Shreveport, LA	$ 1,000.00
Safari Club International Political Action Committee Wapato, WA	$ 2,000.00
Locke, Liddell, & Sapp, LLP Houston, TX	$ 2,500.00

13/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals	Amount	
Ellice McDonald Montchanin, DE	$	1,000.00
Mr. & Mrs. L. J. Whitmeyer Colmesnell, TX	$	500.00
Mr. H. Norman Eagleton Sugar Land, TX	$	1,000.00
Mr. & Mrs. Bob Chiang Sugar Land, TX	$	1,000.00
James A. & Sandra Perkins Houston, TX	$	500.00
Bob J. Perry Houston, TX	$	5,000.00
Doylene Perry Houston, TX	$	5,000.00
J.A. Elkins, Jr. Houston, TX	$	2,500.00
John P. Mcovern, M.D. Houston, TX	$	5,000.00
David M. Underwood Houston, TX	$	1,000.00
Melody & Raymond A. Ranelli McLean, VA	$	1,000.00
Clarence & Sylvia Mayer Houston, TX	$	5,000.00
Charles R. Waid Fulshear, TX	$	5,000.00
Tyler Todd Houston, TX	$	1,000.00
James Hill, Jr. Houston, TX	$	1,000.00
Gregory R. Travis Houston, TX	$	500.00
Steven J. Finkelman Houston, TX	$	500.00

14/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals		Amount
Richard A. Hosley II & Cyril Hosley Sugar Land, TX	$	1,000.00
David & Kay Sparks Richmond, TX	$	1,000.00
Stanford & Joan Alexander Houston, TX	$	500.00
M.A. & T.Z. Hernandez Houston, TX	$	500.00
R. Bruce LaBoon Houston, TX	$	1,000.00
Frank A. Liddell, Jr. Houston, TX	$	1,000.00
Daniel C. Arnold Houston, TX	$	1,000.00
Richard W. Weekley Houston, TX	$	1,000.00
Thomas J. Parr M.D & Nancy Joan Parr Sugar Land, TX	$	1,000.00
Helen J. Dichoso Houston, TX	$	500.00
Carmelo C. Dichoso, M.D Sugar Land, TX	$	500.00
R.D. Richards, Jr. Houston, TX	$	1,000.00
Mr. & Mrs. Gary R. Petersen Houston, TX	$	1,000.00
James P.S. Griffith, Jr. Houston, TX	$	2,500.00
Bob Lanier Houston, TX	$	2,500.00
Hugh M. Ghormley Houston, TX	$	1,000.00
Austen H. Furse III Houston, TX	$	300.00
Robert J. & Carolyn J. Allison, Jr. Houston, TX 77251	$	500.00

15/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals	**Amount**
Paul F. Triele Sandersville, GA	$ 500.00
Ralph L. Stephens Santa Barbara, CA	$ 500.00
E.E. Reed Sugar Land, TX	$ 4,000.00
Patricia Hyde North Riverside, IL	$ 1,000.00
Roger Milliken Spartanburg, SC	$ 1,000.00
Cynthia Simons Tyler, TX	$ 400.00
Mr. Saunders Jones Birmingham, AL	$ 500.00
Martin Pierce Farmington, NM	$ 500.00
W. J. Murphy Angleton, TX	$ 1,000.00
Weston Vernon III Silver Spring, MD	$ 1,000.00
Douglas F. Allison Southfield, MI	$ 1,000.00
Drayton McClane, Jr. Temple, TX	$ 5,000.00
Francis T. & Nancy T. Schwerin Naples, FL	$ 5,000.00
Thomas S. & Marjorie E. Monoghan Ann Arbor, MI	$ 5,000.00
John L. Chapman Atlanta, GA	$ 2,000.00

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The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals		Amount
David A. & Amy M. Ridenour Laurel, MD	$	1,000.00
Lester B. & Janice V. Searer York, PA	$	1,000.00
Helen C. Richardson Washington, DC	$	1,000.00
Richard F. Norman Paeonian Springs, VA	$	1,000.00
Gillis Thomas Dallas, TX	$	1,000.00
Edwin J. & Linda L. Feulner, Jr. Alexandria, VA	$	1,000.00
Frederick G. Smith Lutherville, MD	$	1,000.00
Jerome M. Dattel New Orleans, LA	$	500.00
Richard J. Donohoe Washington, DC	$	500.00
Robert C. & Barbara W. Hayes Concord, NC	$	1,000.00
Nedra D. Maddox Cleburne, TX	$	300.00
J.H. & Karen Y. Forehand, III Bowie, MD	$	500.00
Alan I. Franco New Orleans, LA	$	500.00
Preston A. Wells, Jr. Ft. Lauderdale, FL	$	2,500.00
T. Cass Ballenger Washington, DC	$	5,000.00
Edward G. Atsinger III Camarillo, CA	$	1,000.00
Robert R. Simmons Stonington, CT	$	1,000.00
W.E. Murphy Morgan Alvin, TX	$	1,000.00

17/21

The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals	**Amount**
Scott C. & Jo Ann M.Trethaway Winston Salem, NC	$ 500.00
E. Ralph Hostetter Elkton, MD	$ 2,000.00
Foster & Lynnette Friess Jackson, WY	$ 1,000.00
Glyndon A. & Sonia L. Logsdon Virginia Beach, VA	$ 1,000.00
Robert C & lydia A. Odle, Jr. Alexandria, VA	$ 1,000.00
Vin & Cheryl L. Weber Alexandria, VA	$ 1,000.00
Holland H. Coors Golden, CO	$ 500.00
Lee A. & Ann K. Bazzarone Vienna, VA	$ 1,000.00
Kwang S. Ahn South Plainfield, NJ	$ 5,000.00
Harley F. Shuford, Jr. Hickory, NC	$ 500.00
Jerome W. Bolick Conover, NC	$ 500.00
John R. Albers Dallas, TX	$ 1,000.00
Richard & Elisabeth DeVos Jr. Grand Rapids, MI	$ 5,000.00
Helen E. Krieble Parker, CO	$ 1,000.00
Samuel J. & Cathy G. Simon Cincinnati, OH	$ 500.00
James C. Kennedy Cincinnati, OH	$ 500.00

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The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals		Amount
Jeffery B & Cynthia H. Kane Clayton, MO	$	500.00
Fred J. Runk Cincinnati, OH	$	990.00
James E. Evans Cincinnati, OH	$	1,000.00
R.T. Farmer Cincinnati, OH	$	5,000.00
Robert L. & Sharon K. Hoverson Cincinnati, OH	$	1,000.00
Philip R. & Julia Myers Cincinnati, OH	$	1,000.00
Ivan Owen Reno, NV	$	1,770.00
Bronson Trevor Oyster Bay, NY 11771-0182	$	300.00
Frank Hoenemeyer Madison, NJ 07940-2710	$	300.00
Edward Earl Thiele Richmond, TX 77469-9738	$	1,000.00
Mary Waterman Greenwich, CT	$	750.00
Stewart McConnell College Station, TX	$	300.00
James W. or Christie C. Heavener Winter Park, FL	$	5,000.00
Harold Simmons Dallas, TX	$	5,000.00

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The Tom DeLay Legal Expense Trust
Contributions
January 1 - December 31, 2001

Donor Individuals	Amount	
Louis Beecherl Dallas, TX 75205	$	2,000.00
H. Ward Lay Dallas, TX	$	500.00
Richard R. Rogers Dallas, TX	$	1,000.00
Charles J. Wyly, Jr. Dallas, TX	$	2,000.00
Richard H. Collins Desoto, TX	$	5,000.00
Boone Pickens Dallas, TX	$	2,500 00
Sandra Perry Sigman Houston, TX	$	300.00

Name Tom Delay

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
ARMPAC State		2/5	Houston-Austin-Houston	N	N	N	N
ARMPAC State		2/21 - 2/25	Houston-Palm Springs-Houston	N	N	Y	N
ARMPAC State		3/23 - 3/25	DC-Los Angeles-Houston-DC-Springfield, IL-Houston	N	N	Y (LA-Houston)	N
Korea-US Exchange Council		8/25 - 8/28	Houston-Seoul, Korea	Y	Y	Y	N
Chinese National Association of Industry and Commerce		8/28 - 8/30	Seoul, Korea-Taipei, Taiwan	Y	Y	Y	N
Heritage Foundation		8/30 - 9/4	Taipei, Taiwan - Kuala Lampur, Malaysia - Langkawi, Malaysia - Singapore - Houston	Y	Y	Y	2 days
ARMPAC State		9/7 - 9/10	DC-San Juan, Puerto Rico-DC	Y	N	N	N
ARMPAC State		9/21 - 9/24	DC-San Antonio-Houston-DC	N	N	Y (Houston-DC)	N
ARMPAC State		11/2 - 11/3	DC-Orlando-DC	N	N	Y (DC-Orlando)	N
Tom Delay Legal Expense Trust		12/10	Topeka-Dallas-DC	N	N	N	N

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Name Tom DeLay

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Chairman	Americans for a Republican Majority
Chairman	Business Leadership Trust

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 3002 77-791 (mso)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY -7 PM 2:44
⑥
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

James W. DeMint (Full Name)
132 Coventry Rd (Mailing Address)
Greenville, SC 29615
864-232-1141 Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives State: SC District: 4	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jim DeMint	5/2/02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Jim DeMint

Page 2 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		BLOCK A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples:	Mega Corp. Stock					X								X										X								P
		Simon & Schuster		Indefinite																	Royalties									X			
		1st Bank of Paducah, KY accounts						X									X										X						
		Mainstay (IRA)				X									X										X								
		Solomon Smith Barney (IRA)				X									X							X											
		TSP Plan				X									X												X						
SP		Solomon Smith Barney (IRA			X										X							X											
SP		BB&T Corp				X									X										X								
DC		BB&T Corp					X								X			X									X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jim DeMint

Page 3 of 6

	BLOCK A	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Compass Bancshares			X										X								X										
SP	Datastream System			X																	X											
SP	NBT Bancorp Inc	X												X			X							X								
SP	Nextel Communications			X																	X											
SP	Wachovia Corp			X										X								X										
DC	Centennial Money Mkt			X										X									X									
	100% Share: DeMint Marketing Mgt., Inc					X															X											

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SCHEDULE IV — TRANSACTIONS

Name Jim DeMint

Page 4 of 4

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
DC	BB&T		X		8/6/01	X									
SP	NBT Bancorp		X		3/26/01	X									
SP	Wachovia Corp	X			9/7/01	X									

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Name Tim DeMint Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Heritage Foundation		Jan 4-5	Wash, D.C. - Baltimore - Wash, D.C.	Y	Y	N	N
Smith Institute		Feb 8-11	Wash, D.C. - London - Wash, D.C.	Y	Y	N	N

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Name Jim DeMint | Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Greenville Family Partnership (non-profit drug prevention org.)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1989	DeMint Marketing Management	Upon my death, the proceeds of the life insurance policy disclosed on schedule III (100% share of DeMint Marketing Management, Inc.) would be used to buy the business from my wife.

GPO: 2002 71-791 (mac)

Use additional sheets if more space is required.

HAND DELIVERED

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Lincoln DIAZ - BALART
(Full Name)
8525 N.W. 53 Terrace
MIAMI, FLA 33178
(Mailing Address)
(305) 470-8555
Daytime Telephone

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:48
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

9

MC

Filer Status	☒ Member of the U.S. House of Representatives — State: FL District: 21	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lincoln Diaz-Balart	5-15-2002

Name DIAZ-BALART Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	MIRAMAR SECURITIES, MIAMI, FLA.	Spouse salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name DIAZ-BALART | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name DIAZ-BALART

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	6920 S.W. 94 AVE MIAMI, FLA 33173							X																								
JT	900 N. STAFFORD ARLINGTON, VA.						X																									
	Fidelity Puritan Fund			X										X									X									
SP	AG Edwards + Sons			X										X								X										
SP	Citibank Savings			X												X							X									
	1993 Ford			X																												

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DIAZ-BALART

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	The New England Life INSURANCE Policy			X										X									X									

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Name DIAZ- BALART | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

			Type of Transaction			Date	Amount of Transaction									
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset															
SP	*Example:*	Mega Corporation Common Stock	X			10–12–01		X								
	N/A															

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Name DIAZ - BALART

Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Union Planters	MORTGAGE 6920 SW 94 Ave., Miami, FLA.				X						
JT	GMAC MORTGAGE	MORTGAGE 900 N. STAFFORD, Arlington, VA			X							
JT	BANK OF AMERICA	Line of Credit		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name DIAZ-BALART

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Junta Patriotica	JAN.	WASH. DC — NJ — Miami	N	N	Y	1 DAY
			(Amtrak — AmericanAL)				

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Name DIAZ-BALART | Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
N/A	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-781 (mac)

Use additional sheets if more space is required.

LINCOLN DIAZ-BALART
21ST DISTRICT, FLORIDA
COMMITTEE ON
RULES
VICE CHAIRMAN,
SUBCOMMITTEE ON
RULES AND ORGANIZATION
OF THE HOUSE

COMMITTEE ON
INTERNATIONAL RELATIONS
(SENIORITY RETAINED)

Congreſs of the United States
House of Representatives
Washington, DC 20515–0921

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☐ 8525 N.W. 53RD TERRACE
SUITE 102
MIAMI, FL 33166
(305) 470–8555

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✓
MC ③

May 21, 2002

Clerk of the House
U.S. House of Representatives
Legislative Resource Center
B-106 Cannon HOB
Washington, D.C. 20515-6612

To the Clerk:

I would like to submit the attached amendment to my 2001 Financial Disclosure Statement which reflects corrections to Schedule III and VII.

Should you have any questions, please feel free to call my Chief of Staff, Stephen Vermillion.

Sincerely,

Lincoln Diaz-Balart

LEGISLATIVE RESOURCE CENTER
2002 MAY 22 AM 11:16
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U.S. HOUSE OF REPRESENTATIVES

PRINTED ON RECYCLED PAPER

Name DIAZ-BALART

Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal *residence(s)* (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	BLOCK E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
Examples:	1st Bank of Paducah, KY accounts						X									X										X						
JT	6920 S.W. 94 AVE MIAMI, FLA 33173							X																								
JT	900 N. STAFFORD ARLINGTON, VA.						X																									
	Fidelity Puritan Fund			X										X									X									
SP	AG Edwards + Sons			X										X									X									
SP	Citibank Savings			X												X							X									
	1993 Ford			X																												

For additional assets and unearned income, use next page.

Name DIAZ-BALART | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $250 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); travel paid for by a Federal political committee; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–13	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	4 Days
JUNTA PATRIOTICA CUBANA, ZONA NORTE		JAN. 28-30	MIAMI – NEWARK – WASH, D.C. (member)	N	Y	Y	Y (1 day)
		JAN. 28-30	MIAMI – NEWARK – MIAMI (wife)	N	Y	Y	Y (1 day)

U.S. HOUSE OF REPRESENTATIVES
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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6
For use by Members, officers, and employees

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6

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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

NORMAN D. DICKS
(Full Name)

2467 RAYBURN HOB WASHINGTON, DC 20515
(Mailing Address)

202-225-5916
(Daytime Telephone:)

Filer Status	☑ Member of the U.S. House of Representative State: WA District: 06	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Norman D. Dicks	May 14, 2002

SCHEDULE I - EARNED INCOME

Name NORMAN D. DICKS

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
US CAPITOL HISTORICAL SOCIETY	SPOUSE SALARY	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NORMAN D. DICKS

Page 3 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	Massachusetts Mutual Life Ins, Panorama Premier, American Century VP Value Springfield, MA IRA	$15,001 - $50,000	DIVIDENDS	NONE	E
	Massachusetts Mutual Life Ins, Panorama Premier, American Century VP Value Springfield, MA IRA	$1,001 - $15,000	DIVIDENDS	NONE	E
SP	Lincoln Life, P.O. Box 2340, Fort Wayne, IN 46801 Annuity	$15,001 - $50,000	/None	NONE	
	Allianz Life Ins of North America, Minneapolis, MN IRA	$1,001 - $15,000	NA	NONE	E
SP	Allianz Life Ins of North America, Minneapolis, MN IRA	$1,001 - $15,000	NA	NONE	E

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name NORMAN D. DICKS

	Wright Patman CFCU, Washington, DC account	$15,001 - $50,000	INTEREST	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name NORMAN D. DICKS

Page 5 of 6

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Massachusetts Mutual Life Ins, from OPP Global Securities to Panorama Premier,American Century VP Value, Springfield, MA IRA	E	9-25-01	$15,001 - $50,000
	Massachusetts Mutual Life Ins, from OPP Global Securities to Panorama Premier, American Century VP Value, Springfield, MA IRA	E	9-25-01	$1,001 - $15,000
	Allianz Life Ins of North America, Minneapolis, MN to Massachusetts Mutual Life Ins MML Blend, Springfield, MA IRA	E	5-09-01	$1,001 - $15,000
SP	Allianz Life Ins of North America, Minneapolis, MN to Massachusetts Mutual Life Ins MML Blend, Springfield, MA IRA	E	5-09-01	$1,001 - $15,000
	Van Kampen Focus Pharmaceutical , Legg Mason Wood Walker Inc, Washington, DC	S	8-29-01	$1,001 - $15,000
	Van Kampen Focus Internet Trust, Legg Mason Wood Walker Inc, Washington, DC	S	8-29-01	$1,001 - $15,000
	Nuveen Sector Portfolio Bandwidth, Legg Mason Wood Walker Inc, Washington, DC	S	8-29-01	$1,001 - $15,000
	Massachusetts Mutual Life Ins, MML Blend to OPP Global Securities, Springfield, MA IRA	E	9-24-01	$1,001 - $15,000
	Massachusetts Mutual Life Ins, MML Blend to OPP Global Securities, Springfield, MA IRA	E	9-24-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name NORMAN D. DICKS

Page 6 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
ASPEN INSTITUTE	JAN 12 - 17	Wash.,DC-Grand Cayman-Wash., DC	Y	Y	Y	N/A
MARITIME TRADES DEPT	FEB. 8 - 12	Wash., DC - Los Angeles Palm Springs - Wash., DC	Y	Y	N	2 days
STEVEDORING SERVICES OF AMERICA	APRIL 6 - 11	Wash., DC - Panama City, Panama - Seattle, WA	Y	Y	N	3 days

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 12

For use by Members, officers, and employees

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HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 4: 14

U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

John D. Dingell
(Full Name)

2328 Rayburn HOB Washington, DC 20515
(Mailing Address)

202-225-4071 MC
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: MI District: 16	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☑ No ☐

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John D Dingell	5-15-2002

SCHEDULE I - EARNED INCOME

Name John D. Dingell

Page 2 of 12

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
General Motors Corporation	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name John D. Dingell	Page 3 of 12

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
The Connell Company Seminar Series, Berkeley Heights, NJ	Speech	4-17-01	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John D. Dingell

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Adams Express Co Maryland	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	P
SP	AIM Aggressive Growth Fund Class A	$1,001 - $15,000	CAPITAL GAINS	NONE	
JT	Alliance Premier Growth FD	$15,001 - $50,000	CAPITAL GAINS	NONE	
SP	AOL Time Warner Inc (formerly America Online)	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Apple Computer Inc	$1,001 - $15,000	DIVIDENDS	NONE	
	Balcor Equity Pension Investors	not valued	N/A	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John D. Dingell

Page 5 of 12

JT	Bank of America Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P
SP	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	
	Bergstrom Cap Corp	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
JT	Brandywine Fund Inc	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	NONE	
SP	Bristol Myers Squibb Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Broadwing Inc	$1,001 - $15,000	DIVIDENDS	NONE	
	Citibank NA Bank Deposit Program (opened account in January 2001)	$15,001 - $50,000	INTEREST	$201 - $1,000	
JT	Citigroup Inc	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Compaq Computer Corp	None	DIVIDENDS	$1 - $200	S
JT	Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
JT	Davis New York Venture Fund	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	$1 - $200	
SP	Delphi Automotive Systems Corp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	Dodge and Cox Stock Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	
SP	Electronic Data Sys Corp New	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John D. Dingell

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SP	EMC Corp - Mass	$1,001 - $15,000	DIVIDENDS	NONE	
	Fannie Mae Remic	None	INTEREST	$201 - $1,000	S
JT	First Union Bank	$100,001 - $250,000	INTEREST	$1,001 - $2,500	
	Gabelli Asset Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
JT	General Electric Co	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
SP	General Motors Corp	$100,001 - $250,000	DIVIDENDS	$5,001 - $15,000	
SP	General Motors Corp CL H	$15,001 - $50,000	DIVIDENDS	NONE	
SP	General Motors Corp Stock Options	$1,000,001 - $5,000,000	N/A	NONE	
SP	General Motors Pension Fund	N/A as pension is vested	N/A	NONE	
SP	General Motors Qualified Deferred Savings Program (SSPP) (formerly known as General Motors Deferred Savings Program)	$500,001 - $1,000,000	INTEREST	NONE	
	Heartland Value Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	
SP	IBM Corp	None	DIVIDENDS	$1 - $200	S
SP	Ingersoll Rand Co	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John D. Dingell

SP	Intel Corp	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	Istar Finl Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
JT	Kent Hospital Fin Auth Mich Bond	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
JT	Legg Mason Value Trust	$50,001 - $100,000	CAPITAL GAINS	$201 - $1,000	
	Liberty Acorn Fund Z	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	
SP	Marsh & McLennan Cos Inc	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	McDonalds Corp	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Merck & Co Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Motorola	None	DIVIDENDS	$1 - $200	S
JT	Mutual Beacon	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	
JT	Mutual Qualified	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	$5,001 - $15,000	
	Mutual Shares	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
JT	Nicholas Fund, Inc	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Oppenheimer Global Fund	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John D. Dingell

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SP	Pfizer Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	PIMCO Innovation Fund	$1,001 - $15,000	CAPITAL GAINS	NONE	
SP	Praxair Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Procter & Gamble Co	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Putnam Voyager FD Inc	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	
SP	Raytheon Co Class A	None	DIVIDENDS	$1 - $200	S
	Salomon Bros Fund Inc	None	DIVIDENDS/CAPITAL GAINS	$1 - $200	S
JT	Smith Barney Appreciation Fund CL A	$50,001 - $100,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	
JT	Smith Barney Appreciation Fund CL B	$1 - $1,000	CAPITAL GAINS	$1 - $200	
JT	Smith Barney Money Funds Cash Port CL A	None	DIVIDENDS	$201 - $1,000	
JT	Smith Barney Municipal Money Market Fund	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Spectra Fund	$1,001 - $15,000	DIVIDENDS	NONE	
JT	The Torray Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
SP	Tyco International LTD	$15,001 - $50,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John D. Dingell | Page 9 of 12

SP	UTS GMAC Def Int Deb-Princpl	$15,001 - $50,000	DIVIDENDS	NONE	
	UTS Uncommon Values TR #2000	None	DIVIDENDS	$1 - $200	S
	UTS Uncommon Values TR #2001 A Annl PMT Series	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	VanKampen Emerging Growth Fund	$1,001 - $15,000	DIVIDENDS	NONE	
SP	Wal-Mart Stores Inc	$15,001 - $50,000	DIVIDENDS	NONE	
JT	Waste Mgmt Inc	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
JT	Worldcom Inc	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE IV - TRANSACTIONS

Name John D. Dingell

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Compaq Computer Corp	S	5-18-01	$1,001 - $15,000
	Salomon Bros Fund Inc	S	5-18-01	$15,001 - $50,000
	UTS Uncommon Values TR #2000 A Annl PMT Series	S	7-18-01	$15,001 - $50,000
SP	IBM Corp	S	8-2-01	$15,001 - $50,000
SP	Motorola Inc DE	S	5-18-01	$1,001 - $15,000
SP	Intel Corp	P	8-2-01	$15,001 - $50,000
SP	McDonalds Corp	P	5-18-01	$1,001 - $15,000
	Istar Finl Inc	P	5-18-01	$1,001 - $15,000
	UTS Uncommon Values TR #2001 A Annl PMT Series	P	7-18-01	$15,001 - $50,000
JT	Bank of America Corp	P	5-18-01	$15,001 - $50,000
	Waste Mgmt Inc	P	4-11-01	$1,001 - $15,000
	Adams Express Co Maryland	P	11-19-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name John D. Dingell

Page 11 of 12

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Fannie Mae Remic	S	1-25-01 to 10-25-01	$1,001 - $15,000
SP	Raytheon Co Class A	S	2-20-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John D. Dingell

Page 12 of 12

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Walt Disney Company	January 10-11	Detroit, MI--Santa Anna, CA--Las Vegas, NV	Y	Y	N	No
Safari Club, International	January 11-13	Las Vegas, NV	Y	Y	N	No
National Association of Broadcasters	January 13-14	Las Vegas, NV--Carlsbad, CA--Washington, DC	Y	Y	N	No
Aspen Institute	March 9-11	Washington DC--The Greenbriar--Washington, DC	Y	Y	Y	No
Congressional Sportsmens Foundation	March 16-17	Detroit, MI--West Afton, IA--Detroit, MI	Y	Y	N	No
Greater Detroit Chamber of Commerce	May 29-June 2	Detroit, MI--Mackinac Island, MI--Detroit, MI	Y	Y	N	No

HAND DELIVERED

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LEGISLATIVE RESOURCE CENTER

MC 2002 MAY 14 PM 2:53

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 18
For use by Members, officers, and employees

Lloyd Doggett
(Full Name)

1200 Baylor, #401 Austin, TX 78703
(Mailing Address)

202-225-4865
Daytime Telephone:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status ☑ Member of the U.S. House of Representatives State: TX District: 10 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lloyd Doggett	5/14/02

SCHEDULE I - EARNED INCOME

Name Lloyd Doggett

Page 2 of 18

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
U.S. Department of Education	Spouse Salary	N/A
Texas ERS	Annuity	$33,752
National Head Start Association	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

Page 3 of 18

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	220 N. Mesa, El Paso, TX (1/12 interest)	$15,001 - $50,000	RENT	$1,001 - $2,500	
	711 N. Piedras, El Paso, TX (1/12 interest)	$1,001 - $15,000	RENT	$201 - $1,000	
	Mineral Interest, McFarland Tract, Ward Co., TX	$1,001 - $15,000	ROYALTY	$201 - $1,000	
	6734 Spicewood Springs	$500,001 - $1,000,000	RENT	$15,001 - $50,000	
	Lohman's Ford Crossing Rd., Travis Co., TX	$15,001 - $50,000			
	1510 Ullrich, Austin, TX (1/4)	$15,001 - $50,000	RENT	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

	3800 Kennelwood, Austin, TX	$100,001 - $250,000			
	21.12 Acres, Northern Dona Ana City, NM (1/24 interest)	$1,001 - $15,000	RENT	$1 - $200	
	Estate of Bates Belk	Unknown	INTEREST, DIVIDENDS, RENT, ROYALTIES	$15,001 - $50,000	
	American Century 20th Ultra Shares	$100,001 - $250,000		NONE	
	AOL Time Warner Inc Com	$15,001 - $50,000			
	AT&T Corp Com	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	AT&T Wireless Svcs Inc Com	None			S
	Alcatel Sponsored ADR	None	DIVIDENDS	$1 - $200	S
	Apache Corp	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	Applied Materials Inc	$15,001 - $50,000			
	Atmel Corp	None			S
	Avaya Inc Com	None			
	Broadwing Inc	$15,001 - $50,000			

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

	Burlington Northern Santa Fe Common	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	ChevronTexaco Corp Com	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Cisco Systems Inc	$1,001 - $15,000	DIVIDENDS		
	Citigroup Inc Com	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Coca-Cola Company	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	Computer Sciences Corp	$15,001 - $50,000			P
	Dell Computer Corp	$1,001 - $15,000			
	Doubleclick Inc Com	$1,001 - $15,000			
	EEX Corp Com New	$1,001 - $15,000			
	Edwards A.G. Inc	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Electronic Data Sys Corp	None			
	El Paso Corp Com	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Exxon Mobil Corp Com	$50,001 - $100,000	DIVIDEND REINVESTMENT	$1,001 - $2,500	P
	First Data Corp Common	$15,001 - $50,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

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	Franklin Mutual Shares Fund	$100,001 - $250,000		$5,001 - $15,000	P
	General Electric Co Com	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	General Mtrs Corp Com	None		$201 - $1,000	S
	General Mtrs Corp CL H Com New	None			S
	Guidant Corp Com	$1,001 - $15,000			P
	Home Depot Inc Com	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	Intel Corp Com	$50,001 - $100,000	DIVIDENDS	$1 - $200	
	International Paper Co	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	JDS Uniphase Corp	$1,001 - $15,000			
	J P Morgan Chase & Co Com (formerly Chase Manhattan)	$50,001 - $100,000	DIVIDEND REINVESTMENT	$1,001 - $2,500	P
	Johnson & Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Laboratory Corp	None			S
	Lucent Technologies Inc Com	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Luminex Corp Com New	$15,001 - $50,000			

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

	MBNA Corp	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Merck & Co Inc	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	NCR Corp Com	$1,001 - $15,000			
	Newmont Mining Corporation	None	DIVIDENDS	$1 - $200	S
	Nokia Corp Sponsored ADR	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Novellus System Inc				
	Oracle Corp Com	$15,001 - $50,000			
	Oppenheimer Mid Cap Fund	$1,001 - $15,000	Monthly		P
	Oppenheimer Multi Sector Income Tr	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	P
	Pfizer Inc	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	PPG Industries Inc	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Price Science and Technology	$100,001 - $250,000		NONE	
	Proctor & Gamble Co	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P
	Raytheon Co Com New	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

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	Royal Dutch Pete Co NY	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	SBC Communications Inc	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Schlotzskys Inc	$1,001 - $15,000			
	Charles Schwab Corp	$15,001 - $50,000	DIVIDENDS	$1 - $200	P
	TXU Corp Com Stk	None	DIVIDENDS	$201 - $1,000	S
	Texas Instruments Inc	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Verizon Communications Com	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Viacom Inc Class B	$15,001 - $50,000			P
	Washington Mutual	$15,001 - $50,000			P
	Waste Management Inc	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Whole Foods Mkt Inc	$250,001 - $500,000			
	Williams Comm Inc	$1 - $1,000	DIVIDENDS	$201 - $1,000	
	Williams Cos Inc Com	$1,001 - $15,000			
	Worldcom Inc Ga New Worldcom Group Com	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

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	Xerox Corporation	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Schwab Muni Money Fund	$500,001 - $1,000,000	DIVIDENDS	$15,001 - $50,000	
	Cypress-Frbnks TX Indep School District Due 2/15/06	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Fort Bend TX Indep School District Due 2/15/03	None	INTEREST	$201 - $1,000	S
	Houston TX Indep School District Due 8/15/11	None	INTEREST	$201 - $1,000	S
	Lewisville TX Indep School District Due 8/15/07	$15,001 - $50,000			
	INSD MUN INCM TR SR 86 Semi Annual	$1,001 - $15,000	INTEREST	$1 - $200	
	TX INSD MUN INCM TR SER 31 Monthly	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Invesco Balanced Fund	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	P
	Invesco Small Co. Growth	$100,001 - $250,000			
	Janus Twenty Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Vontobel US Value Fund	$250,001 - $500,000	DIVIDENDS	$1,001 - $2,500	P
	Janus Fund	$100,001 - $250,000			
	Janus Overseas Fund	$15,001 - $50,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

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	Oakmark International Fd	$250,001 - $500,000	DIVIDENDS	$2,501 - $5,000	P
	Selected American Shares	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	Weitz Value Fund	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	P
	Vanguard Tax Exempt MM Fund	None	DIVIDENDS	$1,001 - $2,500	S, P
	Credit Suisse Warburg Cap Apprec Fund	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	
	Vanguard Long-Term Corp Admiral	$500,001 - $1,000,000	DIVIDENDS	$15,001 - $50,000	
	Vanguard Convertible Securities	$250,001 - $500,000	DIVIDENDS	$15,001 - $50,000	P
	Vanguard Growth Index Fund Admiral	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	P
	Vanguard U.S. Growth Fund Admiral	$500,001 - $1,000,000	DIVIDENDS	$1,001 - $2,500	P
	Vanguard PRIMECAP Fund Admiral	$250,001 - $500,000	DIVIDENDS	$2,501 - $5,000	P
	Vanguard Selected Value Fund	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	P
	Vanguard Small-Cap Index Fund Inv	$50,001 - $100,000			P
	Vanguard Total Stock Market Idx Inv	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	P
	Compass Bank	$15,001 - $50,000	INTEREST	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lloyd Doggett

	Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$1,001 - $2,500	
	TIAA-CREF Retirement	$1,001 - $15,000	INTEREST	$1 - $200	
	Nuveen Bond Fund Shares	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Allmerica Financial Life	None		Account Closed	
	Saegert, Angenend & Augustine PC (Trust Account)	None		Account Closed	
	International Business Machines	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	

SCHEDULE IV - TRANSACTIONS

Name Lloyd Doggett	Page 12 of 18

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Alcatel Sponsored Adr	S	12-27-01	$1,001 - $15,000
	Apache Corp	P	02-22-01, 10-25-01	$15,001 - $50,000
	AT&T Wireless Svcs Inc	S	12-27-01	$1,001 - $15,000
	Atmel Corp	S	04-05-01	$15,001 - $50,000
	Charles Schwab	P	10-25-01	$15,001 - $50,000
	Computer Sciences	P	01-18-01	$15,001 - $50,000
	Electronic Data Sys Corp	S	01-18-01	$1,001 - $15,000
	Exxon Mobil Corp	P	Periodic Reinvestment	$1,001 - $15,000
	First Data Corp	P	03-22-01	$15,001 - $50,000
	Franklin Mutual Shares Fund	P	Periodic Reinvestment	$1,001 - $15,000
	General Motors Corp-Cl H	S	12-27-01	$1,001 - $15,000
	General Mtrs Corp	S	12-27-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Lloyd Doggett

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Guidant Corp	P	02-22-01	$15,001 - $50,000
	JP Morgan Chase (formerly Chase Manhattan)	P	Periodic Reinvestment	$1,001 - $15,000
	Laboratory Corp of America	S	01-19-01	$1,001 - $15,000
	Newmont Mining Corp	S	12-31-01	$1,001 - $15,000
	Novellus Systems	S	02-22-01	$15,001 - $50,000
	Oppenheimer Mid Cap Fund	P	Periodic Reinvestment-monthly	$1,001 - $15,000
	Oppenheimer Multi Sector Income Tr	P	Periodic Reinvestment-monthly	$1,001 - $15,000
	Procter & Gamble	P	02-14-01, 05-14-01, 08-14-01, 11-14-01	
	TXU Corp	S	12-31-01	$1,001 - $15,000
	Viacom Inc-Cl B	P	10-25-01	$15,001 - $50,000
	Washington Mutual	P	12-27-01	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name Lloyd Doggett

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Fort Bend TX Indep School District Due 2/15/03	S	02-15-01	$1,001 - $15,000
	Houston TX Indep School District Due 8/15/11	S	08-15-01	$1,001 - $15,000
	Invesco Balanced Fund	P	Periodic Reinvestment	$1,001 - $15,000
	Vontobel US Value Fund	P	Periodic Reinvestment	$1,001 - $15,000
	Oakmark International Fund	P	Periodic Reinvestment	$1,001 - $15,000
	Weitz Value Fund	P	Periodic Reinvestmetn	$1,001 - $15,000
	Vanguard Tax Exempt MM Fund	P	Periodic Reinvestment	$1,001 - $15,000
	Vanguard Tax Exempt MM Fund	S	01-08-01, 12-31-01	$50,001 - $100,000
	Vanguard Convertible Securities	P	Periodic Reinvestment	$15,001 - $50,000
	Vanguard Growth Index Fund Admiral	P	Periodic Reinvestment	$15,001 - $50,000
	Vanguard U.S. Growth Fund Admiral	P	Periodic Reinvestment	$1,001 - $15,000
	Vanguard PRIMECAP Fund Admiral	P	Periodic Reinvestment	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Lloyd Doggett

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Vanguard Selected Index Fund	P	01-08-01	$15,001 - $50,000
	Vanguard Selected Value Fund	P	Periodic Reinvestment	$1,001 - $15,000
	Vanguard Small Cap Index Fund	P	12-31-01	$50,001 - $100,000
	Vanguard Total Stock Market Ind Inv	P	Periodic Reinvestment	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Lloyd Doggett

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Regions Mortgage Inc., Birmingham, AL (1/4)	Mortgage on 1510 Ullrich, Austin, TX	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Lloyd Doggett

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	May 24 - June 5, 2001	Washington, D.C.--Florence, Italy--Washington, D.C.	Y	Y	Y	8 days
The Aspen Institute	August 14 - August 27, 2001	Washington, D.C.--Stockholm, Sweden--Helsinki, Finland--Stockholm, Sweden--Austin, TX	Y	Y	Y	6 days

SCHEDULE VIII - POSITIONS

Name Lloyd Doggett	Page [illegible] of 18

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Perlmutter, Marston, Jacks & Doggett (Owns 1510 Ullrich, Austin)

HAND DELIVERED

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	FORM A Page 1 of 9 For use by Members, officers, and employees

Cal Dooley
(Full Name)

ouse of Representatives 1201 Longworth House Office Building Washington, DC — 202/225-3341
(Mailing Address) — Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 20	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Cal Dooley	5/22/02

SCHEDULE I - EARNED INCOME

Name Cal Dooley

Page 2 of 0

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Bryce Harlow Foundation	Spouse Salary	N/A
Hayes & Associates	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Cal Dooley

Page 3 of 9

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Dooley Farms Partnership (inc. Equipment, crops, leased improvements in Visalia and Tulare	$250,001 - $500,000	Farm income $50,001-$100,000 (net); $100,001-$1,000,000 (gross)	See previous box	
	1/3 interest in 11 acres, Webb Ranch & McAuliffe	$100,001 - $250,000	CAPITAL GAINS	$100,001 - $1,000,000	S
	Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
	CalCot Limited	$1,001 - $15,000	Combined with farm income, listed above	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Cal Dooley

Page 4 of 9

	County Line Gin	$1,001 - $15,000	Combined with farm income, listed above	NONE	
	Diamond Walnut	$1,001 - $15,000	Combined with farm income, listed above	NONE	
	American Funds: The Investment Co. Of America	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	
	American Funds: The New Economy Fund	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	
	Schwab-S&P 500	$50,001 - $100,000	CAPITAL GAINS and DIVIDENDS	$201 - $1,000	
	American Funds: New Perspective Fund	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	
	American Funds: Washington Mutual Investors Fund	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	
	Schwab-Money Market	$100,001 - $250,000	INTEREST	$2,501 - $5,000	
	Ebay	$1,001 - $15,000		NONE	
	JDS Uniphase	$1,001 - $15,000		NONE	
	Genentech	$15,001 - $50,000		NONE	P
	US Airways	$1,001 - $15,000		NONE	
	Peapod	None		$1,001 - $2,500	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Cal Dooley

	McKesson	$1,001 - $15,000	CAPITAL GAINS and DIVIDENDS	$201 - $1,000	
	American Funds: Europacific Growth Funds	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	
	Geron	$15,001 - $50,000		NONE	
	Schwab-1000 Fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Checkfree	$15,001 - $50,000		NONE	P
	Scudder Latin America	$1,001 - $15,000	CAPITAL GAINS and DIVIDENDS	$201 - $1,000	
	Robt. Stephens Info. Age	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$2,501 - $5,000	
	Schwab-MM Smallcap	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	E-Loan, Inc.	$1,001 - $15,000		NONE	P
	MiniMed	None	CAPITAL GAINS	$2,501 - $5,000	P, S
	PIMCO RCM Biotechnology	$15,001 - $50,000		NONE	P

SCHEDULE IV - TRANSACTIONS

Name Cal Dooley

Page 6 of 9

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Sale of lots: Packwood RE Partnership	S	3/1/01, 3/27/01	$50,001 - $100,000
	Checkfree	P	3/31/01, 4/3//01	$1,001 - $15,000
	E-Loan	P	8/22/01	$1,001 - $15,000
	Genentech	P	7/11/01	$1,001 - $15,000
	MiniMed	P,S	2/28/01, 8/31/01	$1,001 - $15,000
	Peapod	S	8/31/01	$1,001 - $15,000
	18 acres, Webb Ranch (1/3 interest)	S	6/25/01	$100,001 - $250,000
	PIMCO RCM Biotechnology	P	3/7/01, 3/13/01	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Cal Dooley

Page 7 of 9

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	WestAmerica	Crop loan (Dooley Farms Partnership)	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Cal Dooley

Page 8 of 9

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
CA Council for International Trade	Jan. 10-11	Monterey	Y	N	N	N/A
JFK School of Government	Jan. 11-13	Monterey, CA-Miami, FL	Y	N	Y	N/A
Food Marketing Institute	Jan. 13-16	Miami, FL-Boca Raton, FL-Washington, D.C.	Y	Y	Y	N/A
Trans Atlantic Policy Network	April 6-10	Washington, D.C.-Spain-Washington, D.C.	Y	Y	Y	N/A
Democratic Leadership Council	May 10-13	Washington, D.C.-Key Largo, FL-Washington, D.C.	Y	Y	Y	N/A
American Israel Education Foundation	Aug. 25-Sept. 2	Washington, D.C.-Israel-Washington, D.C.	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Cal Dooley

Page 9 of 9

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	Dooley Farms Partnership (38% interest)

9

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Rep. John T. Doolittle
(Full Name)

2410 Rayburn HOB
Washington DC 20515
(Mailing Address)

Daytime Telephone: 202-225-2511

Filer Status	☒ Member of the U.S. House of Representatives	State: CA District: 4	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A **$200** *penalty* **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John T. Doolittle	5-8-2002

Name Rep. John Doolittle | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Sierra Dominion Financial Solutions Inc.	Spouse income	NA
	Impact Strategies	spouse income	NA
	Charter Schools Facilities Alliance	spouse income	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Rep. John Doolittle | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	CA Cable TV Assn.	speech/panel	8/21/01	$1000

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Name Rep. John T. Doolittle | Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. *For an active business that is not publicly traded,* in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	CA Legislative Retirement System					X								NA							NA											
	Schwab Cash Fund			X												X							X									
	AOL Stock				X																											P
	Redback Stock			X																												P
	Research in Motion Stock			X																												P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Rep. John Doolittle

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Applied Materials Stock			X																												
	Cisco Stock			X																												
	Gencorp Stock			X										X								X										P
	Intel Stock			X										X								X										P
	Inter-tel Stock			X										X								X										
	Krispy Kreme Stock			X																												
	Microsoft Stock			X																												
	Novamed Stock			X																												P

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Name *Rep. John Doolittle* Page *6* of *9*

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	AOL stock	X			9-18-01	X									
	Redback Stock	X			11-19-01	X									
	Gencorp Stock	X			9-18-01	X									
	Novamed Stock	X			1-26-01	X									

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Name	Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del				X						
	Wright Patman Credit Union	personal credit	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Rep. John Doolittle | Page 8. of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
CA Cable TV Assn.		8/9-10	Sac - Lake Tahoe - Sac	Y	Y	Y	N
Heritage Foundation		1/4-5	DC-Baltimore - DC	Y	Y	N	N
Aspen Institute		3/9-11	DC - Greenbrier - DC	Y	Y	Y	N

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Name *Rep. John Doolittle* Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
partner	J-T Investments

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

⑨

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U.S. HOUSE OF REPRESENTATIVES
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Michael F. Doyle, Jr. (Full Name)

2227 Hampton Street
Pittsburgh, PA 15218 (Mailing Address)

(412) 242-4898 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives — State: Pennsylvania District: 18	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15, 2002

Name Michael F. Doyle, Jr.

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Eastgate Insurance Agency, Inc.	Renewal commissions	$12,375.15

For payments to charity in lieu of honoraria, use Schedule II.

Name Michael F. Doyle, Jr.

Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NONE			

This page may be copied if more space is required.

Name Michael F. Doyle, Jr. Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Principal Financial Group stock			X																	X											
	J&M Assoc. (50% owner of the following holdings)																															
	7223 Chruch Street, PGH, PA				X															Partnership Income	X											
	7643 Highland Ave., PGH, PA				X															" "	X											
	S.E.R.S. - Commonwealth of Pennsylvania						X														X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael F. Doyle, Jr.

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Monongahela Co. (25% owner of the following holding) 1916 Monongahela Ave., PGH				X															Partnership Income	X											
	Eastgate Insurance Agency (45% owner)					X																										

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SCHEDULE IV — TRANSACTIONS

Name Michael F. Doyle, Jr.

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	J&M Associates (50% owner)														
	712 S. Trenton Ave., PGH, PA		X		01/14/01		X								

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SCHEDULE V — LIABILITIES

Name	Michael F. Doyle, Jr.	Page 7 of 9

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	S&T Bank, PGH, PA	Mortgate on properties held by J&M Assoc. (50% owner)		X								
	PNC Corp., PGH, PA	Mortgate on properties held by Monongahela Co. (25% owner)	X									
	Citibank MaterCard	Revolving charge	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name Michael F. Doyle

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Williams Co., Inc.		Oct 25-28	Washington, DC - Tulsa, OK Pittsburgh, PA	N	N	N	N
N.I.A.F.		April 16-28	Pittsburgh, PA - Italy- Pittsburgh, PA	Y	Y	Y	N
IMPAC 2000		March 29-31	*Travel not accepted to destination of Charleston, SC	Y	Y	N	N
IMPAC 2000		Dec. 14-16	*Travel not accepted to destination of Phoenix, AZ	Y	Y	N	N

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Name Michael F. Doyle **Page** 9 **of** 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Secretary/Treasurer	Eastgate Insurance Agency, Inc.
Partner	J&M Associates
Partner	Monongahela Company

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 59
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U.S. HOUSE OF REPRESENTATIVES
11
MC HAND DELIVERED
(Office Use Only)

DAVID T. DREIER
(Full Name)
Room 237, Cannon House Office Building
(Mailing Address)
Washington, DC 20515
Daytime Telephone (202) 225-2305

Filer Status	☒ Member of the U.S. House of Representatives State: CA District: 28	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☐	**No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☒	**No** ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒	**No** ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☒	**No** ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐	**No** ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐	**No** ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☒	**No** ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☒	**No** ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐	**No** ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☒	**No** ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐	**No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	David Dreier	05/15/2002

Name DAVID T. DREIER

Page 2 of 11

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

Name DAVID T. DREIER

Page 3 **of** 10

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	UDV/Guiness	Appearance	March 14, 2001	$1,500
	American Bankers Association	Speech	July 14, 2001	$2,000
	National Association of Chain Drug Stores	Speech	November 9, 2001	$2,000

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name DAVID T. DREIER

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BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	SureWest/Roseville -stock					X								X								X										
	Int. earning checking Cong. Fed. Credit Union			X												X						X										
	Money Market Account Cong. Fed. Credit Union	X														X					X											E
	OK Publ. Co. Stock								X					X													X					
	Gaylord Entertainment stock							X						X												X						
	H&R Block Money Market Acct				X									X		X										X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DAVID T. DREIER

Page 5 of 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	H&R Block IRA Account (UBS)					x																										
	John Hancock Mutual Fund						x							x										x								
	Freeport-McMoran LTD		x											x							x											
	Property- 5 Stratford, RM, CA							x							x											x						
	CBS (Viacom) Stock									x				x							x											
	Caterpillar stock				x									x									x									
	Compaq stock			x										x								x										P
	Ericsson L.M. stock					x								x									x									
	Philip Morris stock					x								x										x								
	Franklin Mutual Fund				x									x			x							x								
	Transocean(formerly Falcon)				x									x								x										
	Bakersfield CA CTFS				x												x						x									
	Seligman Comm.				x									x							x											
	Seligman Hend. Global				x									x			x						x									
	IBM						x							x									x									
	Mass. Mutual Life					x										x						x										
	Novell			x										x							x											
	Amer. Power Conversion			x										x							x											
	Tiffany Manor LTD (KC, MO)										x				x	x													x			
	Franklin Small Growth Fund				x									x							x											
	Network Associates			x										x							x											
	Wachovia/First Union				x									x										x								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name DAVID T. DREIER

Page 6 of 1[illegible]

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Motorola				X									X								X										P

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Name DAVID T. DREIER

Page 7 of 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Money Market Account, Cong. Fed. Credit Union			X	06/13/01	less than $1,000									
	Compaq Stock	X			09/21/01	X									
	Motorola	X			03/27/01		X								

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Name DAVID T. DREIER | Page 8 of 1[illegible]

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Name DAVID T. DREIER	Page 9 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
World Economic Forum		01-25-01 01-29-01	Washington, DC--Davos, Switzerland--Washington, DC	Y	Y	N	N
Aspen Institute		03-09-01 03-11-01	Washington, DC--Greenbriar, WV--Washington, DC	Y	Y	N	N
Bohemian Grove		07-20-01 07-22-01	Washington, DC--San Francisco, CA--Washington, DC	Y	Y	N	N
National Association of Chain Drug Stores		11-09-01 11-10-01	Washington, DC--Miami, FL--Washington, DC	Y	Y	N	N

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Name DAVID T. DREIER	**Page** 10 **of** 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
SECRETARY	The Dreier Family Foundation
BOARD OF TRUSTEES	Claremont McKenna College
BOARD MEMBER	International Republican Institute
CO-CHAIRMAN of the BOARD	Los Angeles Committee for the Homeless (Los Angeles Mission)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (msc)

Use additional sheets if more space is required.

Name DAVID T. DREIER Page 10 of 11

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	Claremont Graduate University Board of Fellows
MEMBER	Council on Foreign Relations
MEMBER	Advisory Council, Center for Strategic and International Studies
TRUSTEE	H. Edward Dreier, Jr. Trust

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-701 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 4:23
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC (9)

John J. Duncan, Jr. (Full Name)

12103 Butternut Circle
Knoxville, TN 37922 (Mailing Address)

202-225-5435 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives — State: TN District: 02	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A ***$200 penalty*** **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☒ No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☒ No ☐

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John J. Duncan Jr.	MAY 13, 2002

Name John J. Duncan, Jr. **Page** 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Boys and Girls Clubs of America	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name John J. Duncan, Jr.

Page 1 of 1

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	NONE			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name John J. Duncan, Jr.

Page 1 of 2

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1 000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	*Examples:* SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Bank First/BB&T (IRA) SSB ST IR US Gov. Sec.			X										X								X										
	Bank First/BB&T/SSB (IRA) Fidelity Value Fund			X										X			X				X	X										
	Bank First/BB&T/SSB (IRA) Fidelity Low Price Stock			X										X			X					X										
	Bank First/BB&T/SSB (IRA) Fidelity Fund Inc.			X										X			X					X										
	Bank First/BB&T/SSB (IRA) BB&T Stock						X							X									X									
DC	Cracker Barrel (Stock)			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name John J. Duncan, Jr.

Page 2 of 2

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	First Central Bank (Stock)			X										X							X											
	State of TN-Pension Plan			X												X						X										
DC	McDonald's Corp. (Stock)			X										X								X										
	Bank F./BB&T/SSB-Money Mkt					X										X										X						
	Congressional CU (Checking			X																	X											
	Bank First/BB&T (Stock)					X								X										X								
DC	Cape Cod B & T (Stock)			X										X								X										
	Cape Cod B & T (Stock)			X										X								X										
DC	Puget Sound Energy (Stock)			X										X								X										S
DC	Gillette (Stock)			X										X							X											
DC	Norfolk Southern (Stock)			X										X								X										
DC	MCI World Com (Stock)		X											X							X											
DC	Krispy Kreme (Stock)		X											X							X											
DC	Lowe's (Stock)			X										X								X										
	Shop At Home (Stock)		X											X							X											
	Gap Inc. (Stock)			X										X								X										
	Home Depot (Stock)			X										X							X											
	MCI World Com (Stock)	X												X							X											S
	Info Space (Stock)		X											X							X											

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SCHEDULE IV — TRANSACTIONS

Name John J. Duncan, Jr

Page 1 of 1

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		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
DC	Puget Sound Energy (Stock)		X		5-18-01	X									
	MCI World Com (Stock)		X		6-14-01	X									
	Citigroup Capital VIII (Preferred) Stock	X			9-17-01		X								
	General Motors Corp. (Preferred) Stock	X			10-03-01		X								

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Name John J. Duncan, Jr. **Page** 1 **of** 1

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SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

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Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

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Name John J. Duncan, Jr.	Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

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Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American Assoc. of Airport Exec.		Jan.7-12	Knoxville, TN - Maui - Knoxville, TN	Y	Y	Y	N
The Aspen Institute		Mar. 9-11	Washington, D.C.-White Sul. Spgs., WV - Washington, D.C.	Y	Y	N	N
Burlington Northern Sante Fe		July 5-6	Knoxville,TN-Jackson Hole WY	Y	Y	Y	N
Association of American Railroads		July 6-9	Jackson Hole, WY-Wash. D.C	Y	Y	Y	N
American Crop Protection		Sep.28-Oct.	Knoxville, TN-White Sulphur Spgs. WV - Washington, D.C.	Y	Y	Y	N

This page may be copied if more space is required.

Name John J. Duncan, Jr.	Page 1 of 1

SCHEDULE VIII — POSITIONS

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Position	Name of Organization
	NONE

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Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-781 (mac)

Use additional sheets if more space is required.

JOHN J. DUNCAN, JR.
2ND DISTRICT, TENNESSEE

2400 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515-4202
PHONE: (202) 225-5435
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FAX: (865) 544-0728

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MARYVILLE, TN 37804-5782
PHONE: (865) 984-5464
FAX: (865) 984-0521

6 EAST MADISON AVENUE, COURTHOUSE
ATHENS, TN 37303-4297
PHONE: (423) 745-4671
FAX: (423) 745-6025

Congress of the United States
House of Representatives
Washington, DC 20515-4202

COMMITTEES
TRANSPORTATION AND INFRASTRUCTURE
SUBCOMMITTEES
WATER RESOURCES AND ENVIRONMENT – CHAIRMAN
AVIATION
HIGHWAYS AND TRANSIT

RESOURCES
SUBCOMMITTEES
NATIONAL PARKS, RECREATION, AND PUBLIC LANDS
FORESTS AND FOREST HEALTH

GOVERNMENT REFORM
SUBCOMMITTEE
ENERGY POLICY, NATURAL RESOURCES
AND REGULATORY AFFAIRS

May 28, 2002

The Clerk
U.S. House of Representatives
Legislative Resource Center
B106 Cannon House Office Building
Washington, D.C. 20515

MC ②

Dear Sir:

Please find enclosed page 2 of Schedule III - Assets and "Unearned" Income for my calendar year 2001 financial disclosure statement. I am amending my original disclosure due to two stocks, Citigroup Capital VIII (preferred) stock and General Motors Corp. (preferred) stock, being listed on Schedule IV; however, these were inadvertently omitted from Schedule III of the original statement. Please replace the second page of Schedule III originally submitted with the enclosed, revised version of the same document.

I apologize for any inconvenience this oversight may have created. If I may be of further assistance, please do not hesitate to contact me.

With kindest regards, I am

Yours truly,

JOHN J. DUNCAN, JR.
Member of Congress

JJD:ml

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LEGISLATIVE RESOURCE CENTER
2002 JUN -4 AM 9:31
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

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PRINTED ON RECYCLED PAPER
HTTP://www.house.gov/duncan/

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name John J. Duncan, Jr.

Page 2 **of** 2

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	First Central Bank (Stock)			X										X							X											
	State of TN-Pension Plan			X												X						X										
DC	McDonald's Corp. (Stock)			X										X								X										
	Bank F./BB&T/SSB-Money Mkt					X										X										X						
	Congressional CU (Checking			X																	X											
	Bank First/BB&T (Stock)					X								X										X								
DC	Cape Cod B & T (Stock)			X										X								X										
	Cape Cod B & T (Stock)			X										X								X										
DC	Puget Sound Energy (Stock)			X										X								X										
DC	Gillette (Stock)			X										X							X											S
DC	Norfolk Southern (Stock)			X										X								X										
DC	MCI World Com (Stock)		X											X							X											
DC	Krispy Kreme (Stock)		X											X							X											
DC	Lowe's (Stock)			X										X								X										
	Shop At Home (Stock)		X											X							X											
	Gap Inc. (Stock)			X										X								X										
	Home Depot (Stock)			X										X							X											
	MCI World Com (Stock)	X												X							X											S
	Info Space (Stock)		X											X							X											
	Citigroup Capital VIII(Stock)				X									X								X										P
	General Motors Corp.(Stock)				X									X									X									P

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(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Jennifer B. Dunn
(Full Name)

1501 Longworth HOB
Washington, D.C. 20515
(Mailing Address)

Daytime Telephone: 202-225-7761

Filer Status	☒ Member of the U.S. House of Representatives State: District:	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☒ No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Jennifer B. Dunn	5/15/02

Name Jennifer B. Dunn

Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	N/A		

For payments to charity in lieu of honoraria, use Schedule II.

Name Jennifer B. Dunn **Page** __ **of** __

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2000	$2,000
	XYZ Magazine	Article	Aug. 13, 2000	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Jennifer B. Dunn

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	Block B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	Block C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	Block D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	Block E: P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples: DC	Simon & Schuster		Indefinite																	Royalties									X			
Examples: JT	1st Bank of Paducah, KY accounts						X									X										X						
	American Enterprise Inv Ser FRK/YLD T/F B				X											X				This year	X											P
*	American Enterprise Inv Ser Holds Bank of Amer. Stock		X											X			X						X									S
	AXP Growth Fund			X													X					X										Inherited
	AXP Blue Chip Advantage Fund			X													X					X										Inherited
	AXP Cash Management Fund A				X									X									X									
	AXP High Yield Tax-Exempt Fund, Inc.		X											X								X										S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Jennifer B. Dunn

Page __ of __

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	AXP NewDimension Fund				X												X					X										Inherited
	AXP Small Co. Index Fund			X										X			X						X									Inherited
	AXP Utilities Income Fund, Inc			X										X			X					X										Inherited
	AXP New Dimensions B+A IRA			X										X								X										
	AXP IDS Life Ins Co. IRA - Flexible Annuity				X																X											
	Bryant R. Dunn Sub-Trust B (Excepted Trust)				Not		Known											X							X							
	Condo: Desert Island Rancho Mirage, CA #305						X								X											X						
	Congressional Federal CU Savings Acct.		X											X							X											
	Congressional Federal CU Checking Acct			X																	X											
	Keybank National Assoc. Checking Acct.			X												X						X										
**	National Financial Center Thrift Savings Plan						X							X		X	X							N/A								
*	Previously listed as APX Brokerage Acct.																															
**	Listed, however, exempt per instructions.																															

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SCHEDULE IV — TRANSACTIONS

Name Jennifer B. Dunn

Page . of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-00		X								
	AXP High Yield Tax-Exempt Fund, Inc..		X		* 1-12-01	Proceeds less than $1,000									
	American Enterprise Investment Services Holds Bank of America Stock		X		* 8-10-01	Proceeds less than $1,000									
	American Enterprise Investor Services FRK H/YLD T/F B				12-18-01		X								
	AXP Blue Chip Advantage Fund	Inherited			10-28-01	X									
	AXP Growth Fund	Inherited			10-28-01	X									
	AXP New Dimension Fund	Inherited			10-28-01		X								
	AXP Small Company Index Fund	Inherited			10-28-01	X									
	AXP Utilities Income Fund, Inc.	Inherited			10-28-01	X									
					*Listed, however exempt per instructions										

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Name	Page ___ of ___

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Mission Hills Mortgage Corp. P.O. Box 22017 Santa Ana, CA 92702	Condo: 50% Interest - Desert Island, Rancho Mirage CA #305				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Jennifer B. Dunn | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
World Economic Forum		Jan. 24-29	WDC – Zurich – WDC	Y	Y	N	N
Ernst & Young		Apr. 2-3	WDC – NYC – WDC	Y	Y	N	N
Grocery Manufacturers of America		June 9-10	WDC - the Greenbrier - WDC	Y	Y	Y	N

Name Jennifer B. Dunn	**Page** ___ **of** ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner (50% Interest)	Dunn-Mijich (a joint venture partnership to own/manage rental condo at Rancho Mirage, CA) -see Schedule 3-I
Board Member	National Junior Statesman Foundation
Board Member	Presidential Commission on Debates
Member, Capital Campain Board	Eastside Domestic Violence Center for Women
Board Member	Lexington Institute
Board Member	National Campaign Against Youth Violence

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-781 (mac)

Use additional sheets if more space is required.

Name Jennifer B. Dunn	**Page** ___ **of** ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member	International Women's Forum
Honorary Board Member	Asian Performing Arts Theater
Board Member	Hazel Goddess Fund
Member, Congressional Advisory Cmte.	International Republican Institute
Co-Chair	Interamerican Dialogue's Congressional Members Working Group on the Americas

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (msc)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES

(7)

MC

(Office Use Only)

THOMAS CHESTER EDWARDS
(Full Name)
2459 RAYBURN HOUSE OFFICE BUILDING
WASHINGTON, DC 20515
(Mailing Address)
Daytime Telephone: 202-225-6105

Filer Status	☒ Member of the U.S. House of Representatives State: District:	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Chet Edwards	5-15-02

Name THOMAS CHESTER EDWARDS Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	— NONE —		

For payments to charity in lieu of honoraria, use Schedule II.

Name THOMAS CHESTER EDWARDS | Page __ of __

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	— NONE —			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name THOMAS CHESTER EDWARDS

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X									X										X						
JT	WRIGHT PATMAN CREDIT UNION				X											X							X									
JT	CENTRAL NATIONAL BANK			X												X						X										
JT	VANGUARD GROUP 500 INDEX FUND				X									X									X									
	Employees Retirement System of T			X										NA								NA										
SP	VANGUARD GROUP 500 INDEX FUND I				X									NA								NA										
JT	Central National Bank				X																			X								

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name THOMAS CHESTER EDWARDS

Page ___ of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
SP	Union Planters		X											X								X										

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SCHEDULE IV — TRANSACTIONS

Name THOMAS CHESTER EDWARDS | Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
SP	Vanguard 500 Index Fund - IRA (2001 Contribution	X			4-15-02	X									
DC	Vanguard 500 Index Fund -	X			monthly	X									

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Name THOMAS CHESTER EDWARDS | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time *not* at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Interfaith Alliance		May 2-3, 01	Wash. D.C. - New York, NY - Wash. DC.	Y	Y	Y Spouse went in my place to accept an award.	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6

For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
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HC (b)

Vernon J. Ehlers
(Full Name)

1848 Morningside Drive SE Grand Rapids, MI 49506
(Mailing Address)

202-225-3831
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives State: MI District: 3 ☐ Officer Or Employee Employing Office:

Report Type [✓ ☑ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	**Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period?** **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	**Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period?** **If yes, complete and attach Schedule II.**	Yes ☑	No ☐
III.	**Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period?** **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	**Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period?** **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	**Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period?** **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI.	**Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)?** **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	**Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)?** **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	**Did you hold any reportable positions on or before the date of filing in the current calendar year?** **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	**Did you have any reportable agreement or arrangement with an outside entity?** **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ✓
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ✓

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Vernon J. Ehlers	5/2/02

SCHEDULE I - EARNED INCOME

Name Vernon J. Ehlers

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Michigan	Pension	$29,396
Kent County Michigan	Pension	$1,911

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Vernon J. Ehlers

Page 3 of 6

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Research Corporation	Speech	June 25, 2001	$5,000
Grand Valley State University	Speech	Sept.27 2001	$1,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Vernon J. Ehlers

Page 4 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
SP	IRA Bank One of Grand Rapids	$1,001 - $15,000	INTEREST	N/A	N/A
	State of Michigan 401(k)	$50,001 - $100,000	combination	NONE	N/A
	State of Michigan 457	$100,001 - $250,000	combination	NONE	N/A
	Calvin College Retirement Account TIAA-CREF	$250,001 - $500,000	combination	NONE	N/A
	IRA Charles Schwab	$100,001 - $250,000	combination	NONE	N/A
	Grand Rapids Teachers Credit Union	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Vernon J. Ehlers

Page 5 of 6

	California Retirement System	$15,001 - $50,000	INTEREST	$201 - $1,000	N/A
	Northern Trust Bank	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
	Bank One	$1,001 - $15,000	INTEREST	$1 - $200	N/A

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Vernon J. Ehlers

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Burrouhgs Wellcome Fund	Feb. 21-23	Grand Rapids, MI to Palm Beach FL and return	Y	Y	N	N/A
Republican Main Street Patnership	April 15-18	Grand Rapids, MI to San Francisco,CA and return	Y	Y	N	N/A
American Assn of Railroads	July 6-9	Grand Rapids , MI to Jackson Hole, WY and return	Y	Y	Y	N/A

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Robert L. Ehrlich, Jr.
(Full Name)

4 Ballyhean Ct Timonium Md 21093 (Mailing Address)
(410) 252-4180 Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: Maryland District:	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐		VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑		VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐		VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐		IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 16, 2002

Name Robert L. Ehrlich, Jr. | Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	COMCAST CABLEVISION	SPOUSE SALARY	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name	**Page ___ of ___**

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

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	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Robert L. Ehrlich Jr

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	(36,229.75) FUNDAMENTAL INVESTORS				✓									✓			✓						✓									DIV. & CAP GAIN REIN.
	(10,257.66) NEW PERSPECTIVE			✓										✓			✓						✓									
	(3,858.36) A I.M. CONSTELLATION			✓										✓							✓											
	(3,146.92) EUROPACIFIC			✓										✓								✓										
	(1,281.24) FLAG VALUE / (FORMERLY FLAG INVESTORS)			✓										✓								✓										
	(4,901.36) MAIN STREET			✓										✓								✓										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Robert L. Ehrlich Jr.

Page ___ of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	(7,743.59) CAP. APPRECIATION "A"			✓										✓			✓					✓										
	(6,734.73) DISCOVERY A			✓										✓			✓					✓										
	(1,291.24) EQUITY			✓										✓			✓					✓										
	AVANSTAR (SOLD 6-15)													✓			✓				LOSS											SOLD
	WEBMETHOD (SOLD 6-15)													✓			✓				LOSS											SOLD
	AGILENT SOLD(10-3)													✓			✓				LOSS											SOLD
	GENE LOGIC BOUGHT(6-15)			✓										✓			✓				PURCHASE 45 SHARES @ 21.94											PURCHASE
	BOUGHT (9-19)													✓			✓				PURCHASE 30 SHARES @ 11.98											PURCHASE
	SMC CORP. BOUGHT(9-19)		✓											✓			✓				PURCHASE 50 SHARES @ 12.54											PURCHASE
(RLEJ)	IRA																															
	EUROPAC 19,348.76				✓									✓			✓						✓									
	FUND INV. 22,240.48				✓									✓			✓						✓									
	NEW PERP. 10,233.60			✓										✓			✓					✓										
	SMALLCAP 15,790.44				✓									✓			✓					✓										
	GFA 15,917.95				✓									✓			✓					✓										
(KSE)	SMALLCAP 4011.64			✓										✓			✓				✓											
(DRE)	12 TECH		✓											✓			✓				✓											
	DISNEY		✓											✓			✓				✓	✓										
	PFIZER		✓											✓			✓					✓										
	VISUAL NETWORKS		✓											✓			✓					✓										

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SCHEDULE IV — TRANSACTIONS

Name ROBERT L. EHRLICH JR. | Page ___ of ___

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		X								
	REINVESTMENT OF CAP. GAINS · DIVIDENDS AND	✓				✓									
	MONTHLY PURCHASES EXCEEDED $1,000.00 FOR														
	THESE FUNDS: MAIN STREET; DISCOVERY; AND														
	CAP "A".														
	OTHER MUTUAL FUNDS DID NOT EXCEED $500.00 FOR														
	CALENDAR YEAR														
	SOLD 50 SHARES OF AVANEX @ $8.85		✓		6-15	✓									
	SOLD 25 SHARES OF WEB METHODS @ 20.09		✓		6-15	✓									
	BOUGHT 45 SHARES 21.74 BOUGHT 80 SHARES OF GENL LOGIC @ 11.98	✓			6-15 9-19	✓ ✓									
	BOUGHT 50 SHARES OF EMC CORP @ 12.54	✓			9-19	✓									
	SOLD 100 SHARES OF ADVENT @ 21.11	✓			10-3	✓									

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Name

Page ____ of ____

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Robert L. Ehrlich, Jr. | Page ___ of ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
CEMA		JAN 5-8	BALTO - LAS VEGAS - BALTO	Y	Y	Y	N
ASS. OF AMERICAN RAILROADS		FEB 23-25	BALTO - PHOENIX - BALTO.	Y	Y	Y	N
ARTIC POWER		AUG. 11-14	BALTO - ANCHORAGE BALTO.	Y	Y	Y	N
MD. ASPHALT ASS.		SEPT 21-22	AUTOMOBILE TO EASTON	Y	N	Y	N

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Name Robert C. [illegible], Jr.	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	DIRECTOR POSITIONS WITH RELIGIOUS, FRATERNAL, AND POLITICAL
	ORGANIZATIONS ARE OF AN HONORARY NATURE

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

(9)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 9

For use by Members, officers, and employees

Jo Ann Emerson
(Full Name)

1637 Themis Street Cape Girardeau, MO 63701
(Mailing Address)

202-225-4404
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: MO District: 8	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION – THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	JoAnn Emerson	5/15/02

SCHEDULE I - EARNED INCOME

Name Jo Ann Emerson

Page 2 of 9

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Bartley, Goffstein, Bollato & Lange, LLC	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Jo Ann Emerson

Page 3 of 9

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Central Methodist College (donated to Whole Kids Outreach, Ellington, MO)	Speech	July 21, 2001	$250

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jo Ann Emerson

Page 4 of 9

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
DC/ JT	Bank of Oklahoma (CD)	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC/ JT	Provident Bank of Maryland (CD)	$1,001 - $15,000	INTEREST	$201 - $1,000	
DC/ JT	EuroPacific Growth Fund, SBT	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC/ JT	Growth Fund of America, Inc	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC/ JT	Investment Co. of America	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC/ JT	Smallcap World Fund, Inc.	$1,001 - $15,000	DIVIDENDS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Jo Ann Emerson

JT	Lucent Technologies	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Avaya (Lucent Spinoff)	$1 - $1,000	DIVIDENDS	NONE	
SP	Westcorp Smallcap SEP	$1,001 - $15,000	N/A	NONE	
SP	Bank of Salem SEP	$50,001 - $100,000	N/A	NONE	
SP	4 Seasons Racquet Club Condominium	$100,001 - $250,000	RENT	$5,001 - $15,000	
SP	Bartley, Goffstein, Bollato & Lange, LLC (1/6 partner)	$250,001 - $500,000	Other: Partnership Value	NONE	
SP	7720 Building Corp. (Law Firm Building)	$100,001 - $250,000	N/A	NONE	
SP	Pershing Money Market Fund	$15,001 - $50,000	INTEREST	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name Jo Ann Emerson

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Pershing Money Market Fund	P	9-01	$15,001 - $50,000

SCHEDULE V - LIABILITIES

Name Jo Ann Emerson

Page 7 of 9

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Key Bank, Boston, MA	College Loan	$15,001 - $50,000
SP	Central Bank of Lake Ozark, MO	Mortgage on rental property	$50,001 - $100,000
SP	Bank of Salem, Salem, MO	Line of credit	$15,001 - $50,000
SP	Enterprise Bank, St. Louis, MO	Mortgage on office building (25% share)	$100,001 - $250,000
SP	Commerce Bank Visa	Credit Card	$10,001 - $15,000
SP	Westpoint Mastercard	Credit Card	$10,001 - $15,000
SP	Travelers Visa	Credit Card	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Jo Ann Emerson

Page 8 of 9

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Missouri Bar Association	Jan. 28-29	Wash., DC--Jefferson City, MO--Wash., DC	Y	Y	Y	N/A
The Faith and Politics Institute	Mar. 2-4	Wash., DC--Birmingham and Montomery, AL--Wash., DC	Y	Y	Y	N/A
Aspen Institute	Mar. 9-11	Wash., DC--White Sulphur Springs, WV--Wash., DC	Y	Y	Y	N/A
USA Rice Council	Apr. 10-13	St. Louis, MO--Havana, Cuba--St. Louis, MO	Y	Y	Y	N/A
Mississippi Valley Flood Control Association	Dec. 6-9	St. Louis, MO--New Orleans, LA--St. Louis, MO	Y	N	Y	N/A

SCHEDULE VIII - POSITIONS

Name Jo Ann Emerson

Page 9 of 9

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Advisory Committee	Ameson Institute for Practical Politics & Public Affairs, Ohio Wesleyan University, Delaware, OH
Chair	Bill Emerson Group Charities, Inc., Alexandria, VA (unpaid)
Trustee	Truman Scholarship Foundation
Lifetime Trustee	Westminster College, Fulton, MO
Chair	Congressional Hunger Center

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A For use by Members, officers, and employees

Page 1 of 4

Eliot L. Engel
(Full Name)

2303 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202/225-2464
Daytime Telephone:

(Office Use Only)

Filer Status ☑ Member of the U.S. House of Representatives State: NY District: 17 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

MC

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Eliot L. Engel	5-15-02

SCHEDULE I - EARNED INCOME

Name Eliot L. Engel

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
USDA	Spouse Salary	n/a
APTS	Spouse Salary	n/a

ꟷEDULE III - ASSETS AND "UNEARNED" INCOME

Name Eliot L. Engel

Page 3 of 4

BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset	BLOCK C Type of Income	BLOCK D Amount of Income	BLOCK E Transaction
ntify (a) each asset held for investment or production of income with ir market value exceeding $1,000 at the end of the reporting period, l (b) any other asset or source of income which generated more than 0 in "unearned" income during the year. For rental property or land, vide an address. Provide full names of any mutual funds. For a self cted IRA (i.e., one where you have the power to select the specific estments) provide information on each asset in the account that eeds the reporting threshold and the income earned for the account. an IRA or retirement plan that is not self-directed, name the titution holding the account and provide its value at the end of the orting period. For an active business that is not publicly traded, in ck A state the nature of the business and its geographic location. additional information, see instruction booklet for the reporting r. clude: Your personal residence(s) (unless there is rental income); debt owed to you by your spouse, or by your or your spouse's child, ent, or sibling; any deposits totaling $5,000 or less in personal ings accounts; any financial interest in or income derived from U.S. vernment retirement programs. ou so choose, you may indicate that an asset or income source is t of your spouse (SP) or dependent child (DC) or is jointly held (JT), he optional column on the far left.	at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Congressional Federal Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
Israeli Bonds	$1,001 - $15,000	INTEREST	$1 - $200	
US Bonds	$1,001 - $15,000	INTEREST	$1 - $200	

Ξ VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Eliot L. Engel

Page 4 of 4

ɪurce and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the e, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the lude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under ifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a ɔendent child that is totally independent of his or her relationship to you.

ɔurce	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
titute	Mar. 9-11	DC-Greenbrier-DC	Y	Y	Y	n/a
ɩssociation of ːers	Apr 20-23	DC-Las Vegas-DC	Y	Y	N	n/a
;able Television ɪn	June 9-12	NY-Chicago-DC	Y	Y	N	n/a
ɪn of American	July 3-10	DC-Wyoming-DC	Y	Y	Y	4 days
ɪnfederation of	Sep 28-Oct 3	DC-Ukraine-Belarus-DC	Y	Y	N	3 days
	Oct 13-15	DC-Boston-DC	Y	Y	N	n/a

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

PHILIP S. ENGLISH
(Full Name)
1410 LONGWORTH HOUSE OFFICE BUILDING
WASHINGTON, D.C. 20515 (Mailing Address)
Daytime Telephone: (202) 225-5406

Filer Status	☒ Member of the U.S. House of Representatives — State: PA District: 21	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Philip S. English	5/9/02

Name PHILIP S. ENGLISH | Page 2 of 4

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	SCHOOL DISTRICT, CITY OF ERIE, PA.	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name PHILIP S. ENGLISH

Page 3 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
Examples:	1st Bank of Paducah, KY accounts						X									X										X						
JT	MERRILL LYNCH ACCOUNT						X							X		X										X						

For additional assets and unearned income, use next page.

Name PHILIP S. ENGLISH

Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	TAX FOUNDATION (EXCISE TAX CONFERENCE)	JAN. 11-14	ERIE, PA. - JACKSONVILLE, FLA.- MIAMI, FLA.	Y	Y	N	N
	U.S. ASIA FOUNDATION - MUTUAL EDUCATIONAL AND CULTURAL EXCHANGE PROGRAM	MAY 25-JUNE 3	WASHINGTON, D.C. - UZBEKISTAN - WASH. D.C.	Y	Y	N	N
	AMERICAN CHEMICAL COUNCIL (ANNUAL TAX MEETING	JUNE 15-17	WASHINGTON, D.C. - MANCHESTER, VT. - WASH. DC	Y	Y	Y	N
	ASSOCIATION OF AMERICAN RAILROADS	JULY 6-9	ERIE, PA. - JACKSON HOLE, WY. - WASHINGTON, D.C.	Y	Y	Y	N
	RIPON EDUCATION FUND	AUG. 10-16	WASHINGTON, D.C. - EDINBURGH, SCOTLAND - LONDON	Y	Y	Y	N
	AMERICAN ISRAEL EDUCATION FOUNDATION	AUG. 18-26	LONDON, ENGLAND - ISRAEL	Y	Y	Y	N
	UNITED HELLENIC AMERICAN CONGRESS	AUG. 26 - SEPT. 2	ISRAEL - CYPRUS - ATHENS, GREECE - Erie, PA	Y	Y	Y	3 DAYS

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

⑨

Anna Georges Eshoo
(Full Name)

40 Isabella Avenue
Atherton California 94027
(Mailing Address)

Daytime Telephone: 650-323-2984

Filer Status	☐ Member of the U.S. House of Representatives — State: District:	☐ Officer or Employee	Employing Office:
Report Type	[✓ ☐ Annual (May 15)]	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Anna Georges Eshoo	May-7-2002

Name Anna Georges Eshoo | Page 1 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	County of San Mateo California Retirement Fund	Legis. Pension San Mateo County Board of Supervisors	$8524.80

For payments to charity in lieu of honoraria, use Schedule II.

Name Georges Eshoo | Page 2 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	-NONE-			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Anna Georges Eshoo

Page 3 of 8

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	SP Mega Corp. Stock					X								X										X								P
DC,	*Examples:* Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Hartford Group/Deferred Comp Plan						X							Deferred Compensation Plan												X						n/a
	County of San Mateo/Retirement			X										Retirement Plan												X						n/a
	San Mateo Credit Union		X													X						X										n/a
	Penn Mutual Life Ins. Co.		X													X							X									n/a
	Washington Mutual Checking Acct		X												None						X											n/a
	Wright Patman C.U./Checking	X													None						X											n/a

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Anna Georges Eshoo

Page 4 of 8

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	Wright Patman C.U. Svgs Acct		X													X						X										n/a
	Riggs Bank		X													X						X										n/a
	Paine Webber																															
	Money Market Fund		X													X						X										n/a
	Mutual Fund				X									X											X							n/a
	IRA			X										X											X							n/a
	Equities Gannett Co.			X										X								X										n/a
	Fed. Thrift Svgs Plan						X													Deferred Comp. Plan							X					n/a

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Name Georges Eshoo

Page 5 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	-NONE-														

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Name Anna Georges Eshoo | Page 6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	United California Bank PO Box 59530 - Schaumburg, Illinois 60159-0530	Mortgage on my home at 40 Isabella Ave - Atherton California 94027					X					
	United California Bank PO Box 60488 - Los Angeles, California 90060-0488	Home Equity Line of Credit	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
	- NONE -	

Use additional sheets if more space is required.

Name Anna Georges Eshoo | Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Aspen Congressional Institute Conference/U.S. Policy Toward Cuba		Jan 12 to 17	San Francisco - Miami - Grand Cayman and return $\$1878^{35}$ Grand Cayman - Miami Dulles/Wash. D.C. Grand Transport - $25.00	Y $\$2355^{00}$	Y $\$660^{00}$	N	N
The Aspen Institute - Bipartisan Retreat Conference - House of Reps The Greenbrier		March 9 to 11	Bus and Train Transportation $\$126^{00}$	Y Room and Meals $\$1660^{00}$	Y	N	N
Armenian Assembly of America Received Public Service Award		June 9	San Francisco - Las Vegas and return to San Francisco $\$380^{50}$	Y 227^{31}	Y $\$100^{00}$	N	N

This page may be copied if more space is required.

Name Anna Georges Eshoo | Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	-NONE-

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	-NONE-	

Use additional sheets if more space is required.

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(8)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 8
For use by Members, officers, and employees

Bobby R. Etheridge
(Full Name)

1106 Mamers-Summerville Road Lillington, NC 27546
(Mailing Address)

202-225-4531
Daytime Telephone:

MC (Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: NC District: 02	☐ Officer Or Employee — Employing Office:
Report Type	[✓ ☑ Annual (May 15)]	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-16-2002

SCHEDULE I - EARNED INCOME

Name Bobby R. Etheridge

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of North Carolina	State/Legislative Pension	$10,000
Harnett Board of Education	Spouse Salary	N/A

'SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bobby R. Etheridge

Page 3 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	RBC Centura Bank	$1,001 - $15,000	Dividends	$1 - $200	N/A
	Progress Energy.	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
	Openheimer Equity Income Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A
JT	Dean Witter Money Market Trust	$10,001-20,000	DIVIDENDS	$1,001 - $2,500	N/A
JT	Farm-Rt. 1, Broadway, NC	$100,001 - $250,000	RENT	$1,001 - $2,500	N/A
JT	Commercial Property, Lillington East McNeil Street	$15,001 - $50,000	NONE	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bobby R. Etheridge

SP	NC State Retirement Pension	None	None	NONE	N/A
	NC State Deferred Compensation Plan (401K)	$50,001 - $110,000	None	NONE	N/A
JT	Rental Property, Lillington, NC (house)	$15,001 - $50,000	RENT	$2,501 - $5,000	N/A
SP	NC State Deferred Compensation 401K	None	None	NONE	NA
	RBC Centura (Stock)	$1 - $1,000	DIVIDENDS	$1 - $200	N/A
	IRA (Sprint Com Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
	IRA (Phillip Morris Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
JT	New Century Bank	$1,001 - $15,000	DIVIDENDS	NONE	P
	IRA (Progress Energy)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
	IRA (Morgan, Stanley, Dean-Witter Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
	IRA (Coho Eugene & Co. Stock)	$1 - $1,000	DIVIDENDS	NONE	N/A
	IRA (RBC Centura Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
JT	Cornerstone Bank	$1,001 - $15,000	DIVIDENDS	NONE	P
	IRA (Sprint PCS Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Bobby R. Etheridge

Page 5 of 8

	IRA (UPS Stock)	$1 - $1,000	DIVIDENDS	NONE	N/A
SP	IRA (Sprint PCS Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
SP	IRA (Sprint Com Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
SP	IRA (Dupont Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
SP	IRA (Conoco Inc. Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
SP	IRA (Baker Hughes Inc. Stock)	$1,001 - $15,000	DIVIDENDS	NONE	N/A
SP	IRA (Lucent Technology)	$1 - $1,000	DIVIDENDS	NONE	N/A
JT	Intel Corporation	$1,001 - $15,000	DIVIDENDS	NONE	P
JT	Bristol Myers Squibbs	$1,001 - $15,000	DIVIDENDS	NONE	P
JT	General Electric	$1,001 - $15,000	DIVIDENDS	NONE	P
JT	Honeywell International	$1,001 - $15,000	DIVIDENDS	NONE	P
JT	Kohls	$1,001 - $15,000	DIVIDENDS	NONE	P
	IRA (Unifi Inc. Stock)	$1 - $1,000	DIVIDENDS	NONE	N/A
JT	Beasley Broadcast	$1,001 - $15,000	DIVIDENDS	NONE	P

SCHEDULE IV - TRANSACTIONS

Name Bobby R Etheridge

Page 6 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Intel Corporation	P	9-17-2001	$1,001 - $15,000
JT	Bristol Myers Squibbs	P	7-6-2001	$1,001 - $15,000
JT	General Electric	P	8-19-2001 9-18-2001	$1,001 - $15,000
JT	Honeywell International	P	7-6-2001	$1,001 - $15,000
JT	Kohls	P	7-6-2001	$1,001 - $15,000
JT	Beasley Broadcast	P	3-12-2001	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Bobby R. Etheridge

Page 7 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Hugh Mclean, Broadway, NC	Farm	$50,001 - $100,000
JT	RBC Centura Bank	Equipment Loan	$10,001 - $15,000

SCHEDULE VIII - POSITIONS

Name Bobby R. Etheridge

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board	Ochoneeche Boy Scout Council

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 5

For use by Members, officers, and employees

Lane A. Evans
(Full Name)

2211 Rayburn HOB Washington, DC 20515
(Mailing Address)

202-225-5905
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status ☑ Member of the U.S. House of Representatives State: IL District: 17 ☐ Officer Or Employee Employing Office:

Report Type [✓ ☑ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION – ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Lane Evans	May 14, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lane A. Evans

Page 2 of 5

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	406 S. Capitol Street, S.E., Washington, DC	$250,001 - $500,000	RENT	$5,001 - $15,000	
	Plow and Planters Employees Credit Union, IRA, Moline, IL	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Wright Patman Federal Credit Union, Savings Accounts & IRAs, Washington, DC	$50,001 - $100,000	INTEREST	$2,501 - $5,000	

SCHEDULE V - LIABILITIES

Name Lane A. Evans

Page 3 of 5

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Bank of America	Mortgage on 406 S. Capitol St., SE	$250,001 - $500,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Lane A. Evans

Page 4 of 5

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
National Parkinson Foundation	Mar. 2-4	Wash., DC - Miami - Wash., DC	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Lane A. Evans

Page 5 of 5

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Skills, Inc., Moline, IL
Director	Center for Mind-Body Sudies, Washington, DC

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

R. Terry Everett
(Full Name)

2312 Rayburn Building
(Mailing Address)

Washington, DC 20515

Daytime Telephone: 202-225-2901

Filer Status	☒ Member of the U.S. House of Representatives State: AL District: 2nd	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	R. Terry Everett	5/14/02

Name R. Terry Everett

Page 2 of 11

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives - Congressman	U.S. Representative	$134,669
	Union Springs Newspapers - Wife	Management	$ 31,200

For payments to charity in lieu of honoraria, use Schedule II.

Name R. Terry Everett

Page 3 of 11

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name R. Terry Everett

Page 4 of 11

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	400 Acre farm, Houston County, AL								X						X											X						
	Stock in: Union Springs Newspaper						X							X							X											
	Due from: Everett for Congress						X									X					X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME
Continuation Sheet (if needed)

Name R. Terry Everett

Page 5 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Merrill-Lynch - 16288																															
	CMA			x												x																
	3350 shares Colonial PPTYS																															
	TSBI ALA REIT					x								x										x								P
	Merrill-Lynch - 16632																															
	CMA															x									x							S
	Treasury notes								x							x												x				
	Treasury notes								x							x											x					P
	AIM Constellation					x								x							x											
	Alliance Technology					x								x																		
	Davis N.Y. Venture						x							x							x											
	Franklin Growth Fund					x								x																		
	J Hancock Financial						x							x																		
	ML Fundamental Gwth					x								x							x											
	Pioneer Growth						x							x							x											
	Templeton World Fund			x										x																		
	HealthSouth Corp.							x						x							x											
	QualComm, Inc.			x										x							x											
	Merrill - Lynch - 16632																															
	PFL Endeavor Var. Annuity							x												tax def. annuity	x											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name R. Terry Everett

Page 6 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	First Federal of the South																															
	Checking				x											x							x									
	C.D.						x									x										x						
	Investment acct.						x																			x						
	IRA				x											x							x									
SP	IRA				x											x							x									
	BankSouth																															
	Money Market							x								x											x					
	C.D.						x									x									x							
	C.D.						x									x									x							
	Construction acct.				x											x							x									
	Congressional Fed. C.U.																															
	Checking			x												x							x									
	Savings			x												x							x									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name R. Terry Everett

Page 7 of 11

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
	Colonial Bancgroup-9766							x						x												x						
SP	Colonial Bancgroup-5696						x							x												x						
JT	Colonial Bancgroup-5000						x							x											x							
	Notes receivable on 2 personal residences in Coffee and Houston Counties, AL					x										x										x						

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SCHEDULE IV — TRANSACTIONS

Name R. Terry Everett

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Merrill-Lynch - 16632 - CMA (1)		x		9/19/01			x							
SP	Merrill-Lynch - 16288 - CMA (1)	x			9/19/01			x							
SP	Merrill-Lynch - 16288 - CMA		x		9/28/01			x							
	Merrill-Lynch - 16288 - 3350 Shares Colonial PPTS-FSBI-ALA-REIT	x			9/28/01			x							
	(1) CMA Money Market actually transferred to Wife's CMA account.														

This page may be copied if more space is required.

Name R. Terry Everett **Page** 9 of 11

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	BankSouth	Campaign loans				x						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name R. Terry Everett

Page 10 **of** 11

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
None							

Name R. Terry Everett	Page 11 of 11

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
	None

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED ⑧

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 04
MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

HON. ENI F.H. FALEOMAVAEGA
(Full Name)

2422 Rayburn House Office Building
Washington, DC 20515
(Mailing Address)

Daytime Telephone: 202-225-8577

Filer Status	☒ Member of the U.S. House of Representatives	State: Am Samoa District: At Large	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Eni Faleomavaega	May 14, 2002

Name Hon. Eni Faleomavaega

Page 2 **of** 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Continental Airlines	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Hon. Eni Faleomavaega

Page 3 **of** 8

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C: DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	BLOCK D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E: P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	American Express Minneapolis, MN																															
	New Dimensions - B	x																			x											S
	Bond - Class B			x										x									x									
	High Yield Tax Exempt - B			x										x									x									S
	Growth - Class B	x																			x											S
	Utilities Income - B	x												x								x										S

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Hon. Eni Faleomavaega

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Managed Allocation - B			x										x								x										S
	International - B	x																			x											S
	Flexible Annuity						x															(IRA)										
	New Dimensions - A				x									x			x				(IRA)											
	T. Rowe Price; Baltimore, MD																															
	Mid-Cap Value Fund			x										x								x										P
	Small-Cap Value Fund			x										x								x										P
	New Income Fund			x										x								x										P
	Janus; Denver, CO																															
	Enterprise Fund	x																			x											S
	Global Life Sciences Fund	x																			x											S
	Global Technology Fund	x																			x											S
	Short-Term Bond Fund			x										x								x										P
	Flexible Income			x										x								x										P
	Fidelity; Boston, MA																															
	Mid-Cap Stock Fund			x										x								x										P
	American Express Retirement																															
	Advisor Annuity				x																(IRA)											
	Fidelity Select Insurance Fund			x										x								x										P

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SCHEDULE IV — TRANSACTIONS

Name Hon. Eni Faleomavaega

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
American Express, Minneapolis, MN															
	New Dimensions - B		x		7-12-01 7-23-01		x								
	High Yield Tax Exempt - B		x		7-23-01	x									
	Growth Fund - B		x		7-23-01	x									
	Utilities Income Fund - B		x		7-23-01		x								
	International Fund - B		x		10-4-01	x									
Janus	Enterprise Fund (Denver, CO)		x		1-3-01	x									
	Global Life Sciences Fund	x	x		22 purchases each below reporting threshold 10-22-01	x									
	Global Technology Fund		x		1-3-01	x									
	Short-Term Bond Fund	x			10-22-01	x	& 5 other purchases each below reporting threshold								
	Flexible Income Fund	x			10-22-01	x	& 5 other purchases each below reporting threshold								
T. Rowe Price, Baltimore, MD															
	New Income Fund	x			10-22-01	x	& 32 other purchases each below reporting threshold								
	Health Sciences Fund	x	x		23 purchases each below reporting threshold 10-22-01	x									
	Mid-Cap Value Fund	x			10-22-01	x	& 5 other purchases each below reporting threshold								
	Mid-Cap Stock Fund	x				x	28 purchases each below reporting threshold								

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SCHEDULE IV — TRANSACTIONS

Name Honorable Eni Faleomavaega

Page 6 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
	Small Cap Value Fund	x			10-22-01	x	& 5 other purchases each belo reporting threshold								
Fidelity, Boston, MA															
	Mid-Cap Stock Fund	x				x	28 purchases each below reporting threshold								
	Select Insurance Fund	x			1-3-01	x	& 27 other purchases each bel reporting threshold								
	Select -- Defense & Aerospace Fund	x			10-22-01	x	& 5 other purchases each belo reporting threshold								

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Name Hon. Eni Faleomavaega

Page 7 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Wright Patman Congressional Federal Credit Union - Washington, DC	credit card	x									
	United Services Automobile Association San Antonio, TX	credit card	x									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Hon. Eni Faleomavaega

Page 8 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Samoa for all of Samoa		May 27-28	Sacramento, CA only	y	y	n	10
Democratic Leadership Council		May 10-13	Wash DC - Key Largo FL - Wash DC	y	y	n	0

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees
Page 1 of 8

Samuel Farr
(Full Name)

1221 Longworth House Office Building Washington, DC 20515
(Mailing Address)

202-225-2861
Daytime Telephone.

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: CA District: 17	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☐ No ☑
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Sam Farr	5/15/02

SCHEDULE I - EARNED INCOME

Name Samuel Farr

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Financial Transitions Institute	Spouses Income	N/A
Hospice of Monterey	Spouses Income	N/A
Monterey Credit Union	Spouses Income	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Samuel Farr

Page 3 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Chevy Chase Land Company	$50,001 - $100,000	DIVIDENDS	$5,001 - $15,000	
	Devil's Flat Association	$15,001 - $50,000	Other: None	NONE	
	Point 16, Big Sur, California	$500,001 - $1,000,000	RENT	$1,001 - $2,500	
	Sharlands Investment Company	$1,001 - $15,000	DIVIDENDS	NONE	
	Columbia Channel Gold Mine	$1,001 - $15,000	DIVIDENDS	NONE	
	Interest -California State Retirement	$15,001 - $50,000	Other: None	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Samuel Farr

Page 4 of 8

	Sorensen's Resort	$15,001 - $50,000	Other: Partner	$5,001 - $15,000	
	Tahoe Cabin	$15,001 - $50,000	RENT	$1,001 - $2,500	
	Lots 7,9,10 (SE Corner of Santa Lucia and Camino Real In Carmel, CA	$250,001 - $500,000		NONE	
	The following were acquired as a result of father's death and the dissolution of the Janet H. Farr Trust				
	Agilent Technologies Stock	$1,001 - $15,000	DIVIDENDS	NONE	
	Avaya Stock	None		NONE	S
	Boeing Company Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	S
	Bristol Myers Squib Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Zimmerman Buildings Inc. Stock	None		NONE	PS
	Chevron Corp Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Colgate Palmolive Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	General Electric Stock	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	S
	Hewlett Packard Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Samuel Farr

Page 5 of 8

	Intel Corp. Stock	$100,001 - $250,000	DIVIDENDS	$201 - $1,000	S
	IBM Corp. Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Lucent Technologies Stock	None		NONE	S
	Merck and Company Stock	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	S
	Motorola Inc. Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Pfizer Inc. Stock	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	S
	Hartford Financial Services Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Washington Mutual Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Vista Lobos Apartments (Interest held through the Farr Children's Trust and the Delores Farr Trust. Filer is 50% beneficiary)	$250,001 - $500,000	RENT	$50,001 - $100,000	
	Morgan Stanley Dean Whitter (mutual funds and money market)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Congressional Federal Credit Union (Savings Account)	$15,001 - $50,000	INTEREST	$201 - $1,000	
	Congressional Federal Credit Union (IRA)	$1,001 - $15,000	INTEREST	NONE	

SCHEDULE IV - TRANSACTIONS

Name Samuel Farr

Page 6 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Avaya Stock	S	12-06-01	Less than 1,000
	General Electric Stock	S	12-06-01	$1,001 - $15,000
	Intel Corp. Stock	S	12-06-01	$15,001 - $50,000
	Lucent Technologies Stock	S	12-06-01	$1,001 - $15,000
	Merck and Company Stock	S	12-06-01	$1,001 - $15,000
	Zimmerman Buildings Inc. Stock (acquired through spinoff from Bristol Myers Squibb)	PS	12-06-01	$1,001 - $15,000
	Pfizer Inc. Stock	S	12-06-01	$1,001 - $15,000
	Point 16 Real Estate Easement	S	03-05-01	$1,001 - $15,000
	Bristol Myers Squibb Stock	S	12-06-01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Samuel Farr

Page 7 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	California Bank Trust	Mortgage on Carmel Home	$250,001 - $500,000
	Morgan Stanley Margin Account	Margin Account	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Samuel Farr

Page 8 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Aspen Institute	Jan. 12-17	Monterey, CA-Cayman Islands-Washington DC	Y	Y	Y	No
Aspen Institute	May 29-June 3	Monterey, CA-Florence, Italy-Washington, DC	Y	Y	Y	No

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7

For use by Members, officers, and employees

⑦ **HAND DELIVER**

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2002 MAY 15 PM 4:46
(Office Use Only)

MC

Chaka Fattah
(Full Name)

3939 Netherfield Road Philadelphia, PA 19129
(Mailing Address)

202.225.4001
(Daytime Telephone)

Filer Status ☑ Member of the U.S. House of Representatives State: PA District: 2 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑	No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

SCHEDULE I - EARNED INCOME

Name Chaka Fattah

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
NBC Channel 10	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Chaka Fattah

Page 3 of 7

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Temple Beth Zion-Beth Israel	Speech	Mar. 25,2001	$2,000
Obermayer, Rebmann, Maxwell & Hippel	Speech	May 15, 2001	$2,500
Council for Opportunity in Education	Speech	April 18, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Chaka Fattah

Page 4 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Self	PA State Employee Retirement System	$50,001 - $100,000	Pension reported as earned income	$2,501 - $5,000	N/A

SCHEDULE V - LIABILITIES

Name Chaka Fattah

Page 5 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	FirstUnion	Credit Card	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Chaka Fattah

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	Feb. 16-19	Phila., PA -- St. Petersberg, FL -- Phila., PA	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Chaka Fattah

Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Philadelphia Urban League

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 7

For use by Members, officers, and employees

Chaka Fattah
(Full Name)

3939 Netherfield Road Philadelphia, PA 19129
(Mailing Address)

202.225.4001
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: PA District: 2	☐ Officer Or Employee — Employing Office:
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑	No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-21-02

SCHEDULE I - EARNED INCOME

Name Chaka Fattah

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
NBC Channel 10	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Chaka Fattah

Page 3 of 7

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Temple Beth Zion-Beth Israel	Speech	Mar. 25,2001	$2,000
Obermayer, Rebmann, Maxwell & Hippel	Speech	May 15, 2001	$2,500
Council for Opportunity in Education	Speech	April 18, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Chaka Fattah

Page 4 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Self	PA State Employee Retirement System	$50,001 - $100,000	Pension reported as earned income	$2,501 - $5,000	N/A
SP	GE	$100,001 - $250,000	401K	$15,001 - $50,000	N/A

SCHEDULE V - LIABILITIES

Name Chaka Fattah

Page 5 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	FirstUnion Visa	Credit Card	$15,001 - $50,000
SP	CitiBank Visa	Credit Card	$10,001 - $15,000
SP	Ameican Financial	Student Loan	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Chaka Fattah

Page 6 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	Feb. 16-19	Phila., PA -- St. Petersberg, FL -- Phila., PA	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Chaka Fattah

Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Philadelphia Urban League
Board Member	Philadelphia Zoo

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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(15)

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U.S. HOUSE OF REPRESENTATIVES
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MICHAEL A. FERGUSON
(Full Name)

6 BROKEN ARROW ROAD WARREN, NEW JERSEY 07059
(Mailing Address)

(202) 225-5361
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives State: NEW JERSEY District: 7TH	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael Ferguson	5/14/02

Name MICHAEL A. FERGUSON | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	ALL EARNED INCOME WAS FROM FILER'S EMPLOYMENT WITH THE U.S. GOVERNMENT	N/A	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name MICHAEL A. FERGUSON

Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	N/A	N/A	N/A	N/A

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name MICHAEL A. FERGUSON

Page 4 of 9

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	*Examples:* SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	MERRILL LYNCH CMA ACCOUNT								X					X		X											X					
	AMERICAN FUNDS GROUP IRA			X																						N/A						
SP	PAINE WEBBER IRA				X																					N/A						
	PAINE WEBBER IRA			X																						N/A						
	MERRILL LYNCH ROTH IRA			X																						N/A						
SP	MERRILL LYNCH ROTH IRA			X																						N/A						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name MICHAEL A. FERGUSON

Page 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	ABBOT LABORATORIES			X										X								X										
JT	JOHNSON & JOHNSON			X										X								X										
JT	PFIZER, INC.				X									X								X										
JT	SCHERING PLOUGH				X									X								X										
JT	BAXTER INTERNATIONAL			X										X								X										

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Name MICHAEL A. FERGUSON

Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
JT	MERRILL LYNCH CONSULT ACCOUNTS (SEE ATTACHED														
	STATEMENTS)														

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MICHAEL A. FERGUSON
ATTACHMENT TO SCHEDULE IV

		TYPE OF TRANSACTION			DATE	AMOUNT OF TRANSACTION									
SP, DC JT	ASSET	PURCHASE	SALE	EXCHANGE	MO/DAY/YR	B	C	D	E	F	G	H	I	J	K
JT	AVAYA INC.	X			5/11/2001	X									
JT	AMERICA MOVIL	X			5/11/2001	X									
JT	ARCHER DANIELS	X			5/11/2001	X									
JT	BRITISH AMN TOBACCO	X			5/11/2001	X									
JT	BANK ONE CORP	X			5/11/2001	X									
JT	BASF AG	X			5/11/2001	X									
JT	BAE SYS PLC SPN	X			5/11/2001	X									
JT	BRASIL TELECOM	X			5/11/2001	X									
JT	BRIT TELECOM F INSTL ADR	X			5/11/2001	X									
JT	CONAGRA FOODS INC	X			5/11/2001	X									
JT	DEUTSCHE TELE AG SPN	X			5/11/2001	X									
JT	DIAGEO PLC SPSD	X			5/11/2001	X									
JT	DU PONT E I DE NEMOURS	X			5/11/2001	X									
JT	ENI SPA SPONSORED ADR	X			5/11/2001	X									
JT	EASTMAN KODAK	X			5/11/2001	X									
JT	GOODYEAR TIRE	X			5/11/2001	X									
JT	GREAT LAKES CHEMICAL	X			5/11/2001	X									
JT	HEINZ HJ CO	X			5/11/2001	X									
JT	HITACHI LIMITED	X			5/11/2001	X									
JT	INVENSYS PLC SPD ADR	X			5/11/2001	X									
JT	LOCKHEED MARTIN CORP	X			5/11/2001	X									
JT	LOEWS CORP	X			5/11/2001	X									
JT	MITSUBISHI TOKYO	X			5/11/2001	X									
JT	MARKS & SPNCR LTD	X			5/11/2001	X									
JT	NATIONAL CITY CORP	X			5/11/2001	X									
JT	PETROLEO BRAS SA ADR	X			5/11/2001	X									
JT	PHILIP MORRIS COS INC	X			5/11/2001	X									
JT	PRAXAIR INC	X			5/11/2001	X									
JT	RAYTHEON COMPANY	X			5/11/2001	X									
JT	SAFECO CORP	X			5/11/2001	X									
JT	SBC COMMUNICATIONS	X			5/11/2001	X									
JT	SHERWIN WILLIAMS	X			5/11/2001	X									

MICHAEL A. FERGUSON
ATTACHMENT TO SCHEDULE IV

		TYPE OF TRANSACTION			DATE	AMOUNT OF TRANSACTION									
SP, DC JT	ASSET	PURCHASE	SALE	EXCHANGE	MO/DAY/YR	B	C	D	E	F	G	H	I	J	K
JT	TELEFONOS M SA RP	X			5/11/2001	X									
JT	TELEBRAS HOLDERS	X			5/11/2001	X									
JT	UNILEVER PLC	X			5/11/2001	X									
JT	UNISYS CORP	X			5/11/2001	X									
JT	UST INC	X			5/11/2001	X									
JT	VERIZON COMMUNICATION	X			5/11/2001	X									
JT	XEROX CORP	X			5/11/2001	X									
JT	WASTE MANAGEMENT	X			5/11/2001	X									
JT	ALCATEL SA	X			5/14/2001	X									
JT	CLOROX CO DEL COM	X			5/14/2001	X									
JT	E. ON AG ADR	X			5/14/2001	X									
JT	MATSUSHTA EL IND	X			5/14/2001	X									
JT	MOTOROLA	X			5/14/2001	X									
JT	NIPPON TELG & TEL SPDN	X			6/14/2001	X									
JT	ZURICH FINANCIAL SER	X			5/14/2001	X									
JT	REPSOL YPF S A SPND	X			5/15/2001	X									
JT	TELEFONICA SA SPAIN	X			5/15/2001	X									
JT	ELECTROBRAS CENTRAIS	X			5/21/2001	X									
JT	SPRINT CORP	X			6/29/2001	X									
JT	ALBERTSONS INC	X			6/15/2001	X									
JT	MCDONALDS CORP	X			7/19/2001	X									
JT	MERCK & CO INC	X			7/19/2001	X									
JT	ALLSTATE CORP	X			8/21/2001	X									
JT	LOCKHEED MARTIN CORP		X		9/20/2001	X									
JT	SBC COMMUNICATIONS		X		9/25/2001	X									
JT	HEWLETT PACKARD CO	X			9/27/2001	X									
JT	MICRON TECHNOLOGY	X			10/2/2001	X									
JT	RAYTHEON COMPANY		X		10/10/2001	X									
JT	CONAGRA FOODS INC		X		10/11/2001	X									
JT	BOEING COMPANY	X			10/17/2001	X									
JT	NATIONAL CITY CORP		X		10/29/2001	X									
JT	CLOROX CO DEL COM		X		11/14/2001	X									

MICHAEL A. FERGUSON
ATTACHMENT TO SCHEDULE IV

		TYPE OF TRANSACTION			DATE	AMOUNT OF TRANSACTION									
SP, DC JT	ASSET	PURCHASE	SALE	EXCHANGE	MO/DAY/YR	B	C	D	E	F	G	H	I	J	K
JT	HEINZ HJ CO		X		11/14/2001	X									
JT	MICRON TECHNOLOGY INC		X		11/19/2001	X									
JT	BANCO B VIZ ARGT SA ADR	X			11/20/2001	X									
JT	EXELON CORP	X			12/3/2001	X									
JT	ALCATEL SA		X		12/5/2001	X									
JT	EASTMAN KODAK		X		12/5/2001	X									
JT	HITACHI LIMITED		X		12/5/2001	X									
JT	MATSUSHTA EL IND		X		12/5/2001	X									
JT	NIPPON TELG & TEL SPDN		X		12/5/2001	X									
JT	TELEBRAS HOLDERS		X		12/5/2001	X									
JT	ZURICH FINANCIAL SER		X		12/5/2001	X									
JT	PRAXAIR INC		X		12/10/2001	X									
JT	TOYS R US	X			12/13/2001	X									
JT	TOKIO MAR & FIRE	X			12/18/2001	X									
JT	PRUDENTIAL FINANCIAL	X			12/19/2001	X									
JT	FEDERAL NATIONAL MTG	X			5/9/2001	X									
JT	FEDERAL NATIONAL MTG	X			5/9/2001	X									
JT	FEDERAL NATIONAL MTG	X			5/10/2001	X									
JT	U.S. TREASURY NOTE	X			5/10/2001	X									
JT	UNILEVER NV	X			5/11/2001	X									
JT	AT &T CORP	X			5/11/2001	X									
JT	AOL TIME WARNER	X			5/11/2001	X									
JT	AMERICAN INTERNATIONAL	X			5/11/2001	X									
JT	BANK OF NEW YORK CO	X			5/11/2001	X									
JT	BAXTER INTERNATIONAL	X			5/11/2001	X									
JT	COSTCO WHOLESALER	X			5/11/2001	X									
JT	DU PONT E I DE NEMOURS	X			5/11/2001	X									
JT	FIRST DATA CORPORATION	X			5/11/2001	X									
JT	GEMSTAR TV GUIDE	X			5/11/2001	X									
JT	HCA HEALTHCARE	X			5/11/2001	X									
JT	INGERSOLL RAND	X			5/11/2001	X									
JT	KROGER CO	X			5/11/2001	X									

MICHAEL A. FERGUSON
ATTACHMENT TO SCHEDULE IV

SP, DC JT	ASSET	TYPE OF TRANSACTION			DATE	AMOUNT OF TRANSACTION									
		PURCHASE	SALE	EXCHANGE	MO/DAY/YR	B	C	D	E	F	G	H	I	J	K
JT	MORGAN ST DEAN WITTER	X			5/11/2001	X									
JT	PEPSI-CO	X			5/11/2001	X									
JT	TJX COS INC	X			5/11/2001	X									
JT	TENET HEALTHCARE	X			5/11/2001	X									
JT	USA NETWORK INC	X			5/11/2001	X									
JT	TEXACO INC	X			5/11/2001	X									
JT	USA NETWORK INC	X			5/11/2001	X									
JT	VERIZON COMMUNICATION	X			5/11/2001	X									
JT	VIACOM INC	X			5/11/2001	X									
JT	WILLIAMS COMPANY	X			5/11/2001	X									
JT	UNILEVER NV	X			5/14/2001	X									
JT	EMERSON ELECTRIC	X			5/22/2001	X									
JT	FEDERAL NATIONAL MTG	X			6/26/2001	X									
JT	FEDERAL NATIONAL MTG		X		6/26/2001	X									
JT	COCA COLA ENTERPRISES	X			8/17/2001	X									
JT	UNILEVER NV		X		8/17/2001	X									
JT	CITIGROUP INC	X			9/11/2001	X									
JT	SBC COMMUNICATIONS	X			9/11/2001	X									
JT	WALMART STORES	X			9/11/2001	X									
JT	FEDERAL NATIONAL MTG		X		9/11/2001	X									
JT	ECHOSTAR COMMUNICAT	X			10/3/2001	X									
JT	CHUBB CORP	X			10/22/2001	X									
JT	SBC COMMUNICATIONS		X		10/23/2001	X									
JT	VERIZON GLOBAL FDG	X			10/23/2001	X									
JT	FEDERAL NATIONAL MTG		X		10/26/2001	X									
JT	HOUSEHOLD FINANCE	X			10/30/2001	X									
JT	UNILEVER NV		X		10/30/2001	X									
JT	U.S. TREASURY NOTE		X		11/19/2001	X									
JT	FEDERAL HOME LN MTG	X			12/6/2001	X									
JT	ECHOSTAR COMMUNICAT		X		12/19/2001	X									
JT	BANK OF AMERICA CORP	X			12/20/2001	X									
JT	BANK OF NY CORP		X		12/21/2001	X									

MICHAEL A. FERGUSON
ATTACHMENT TO SCHEDULE IV

		TYPE OF TRANSACTION			DATE	AMOUNT OF TRANSACTION									
SP, DC JT	ASSET	PURCHASE	SALE	EXCHANGE	MO/DAY/YR	B	C	D	E	F	G	H	I	J	K
JT	FEDERAL NATIONAL MTG	X			5/9/2001	X									
JT	FEDERAL NATIONAL MTG	X			5/9/2001	X									
JT	FEDERAL NATIONAL MTG	X			5/9/2001	X									
JT	GENERAL ELECTRIC CAP	X			5/11/2001	X									
JT	COMPAQ COMPUTERS	X			5/11/2001	X									
JT	IBM CORPORATION	X			5/18/2001	X									
JT	FORD MOTOR CREDIT	X			5/18/2001	X									
JT	ASSOCIATES CORP	X			5/18/2001	X									
JT	ABBOTT LABS		X		5/18/2001	X									
JT	CITIGROUP INC	X			5/18/2001	X									
JT	FLEETBOSTON FINANCIAL	X			5/18/2001	X									
JT	INTERNATIONAL PAPER	X			5/18/2001	X									
JT	JP MORGAN CHASE	X			5/18/2001	X									
JT	METLIFE INC	X			5/18/2001	X									
JT	MERCK & CO INC	X			5/18/2001	X									
JT	SCHLUMBERGER LTD	X			5/18/2001	X									
JT	FEDERAL NATIONAL MTG	X			5/23/2001	X									
JT	MCDONALDS CORP	X			5/24/2001	X									
JT	BANK ONE CORP	X			5/25/2001	X									
JT	HOUSEHOLD FINANCIAL	X			5/25/2001	X									
JT	WALT DISNEY COMPANY	X			5/25/2001	X									
JT	BANK OF AMERICA CORP	X			5/25/2001	X									
JT	CHUBB CORP	X			5/25/2001	X									
JT	GANNETT CO	X			5/25/2001	X									
JT	KIMBERLY CLARK	X			5/26/2001	X									
JT	UNILEVER NV NEW	X			5/25/2001	X									
JT	UNOCAL CORP	X			5/25/2001	X									
JT	NATIONSBANK CORP	X			5/30/2001	X									
JT	MINNESOTA MNG MFG	X			6/1/2001	X									
JT	FNMA	X			6/13/2001	X									
JT	FNMA	X			6/18/2001	X									
JT	INTEL CORP		X		8/31/2001	X									

MICHAEL A. FERGUSON
ATTACHMENT TO SCHEDULE IV

SP, DC JT	ASSET	TYPE OF TRANSACTION			DATE	AMOUNT OF TRANSACTION									
		PURCHASE	SALE	EXCHANGE	MO/DAY/YR	B	C	D	E	F	G	H	I	J	K
JT	FEDERAL NATIONAL MTG		X		9/5/2001	X									
JT	FEDERAL NATIONAL MTG		X		9/5/2001	X									
JT	GENERAL ELECTRIC CAP		X		9/25/2001	X									
JT	NATIONSBANK CORP		X		9/25/2001	X									
JT	FNMA		X		9/25/2001	X									
JT	FNMA	X			9/28/2001	X									
JT	MCDONALDS CORP		X		9/27/2001	X									
JT	JP MORGAN CHASE		X		11/30/2001	X									
JT	MERCK MEDCO		X		12/21/2001	X									
JT	SCHLUMBERGER LTD		X		12/21/2001	X									

Name MICHAEL A. FERGUSON | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name MICHAEL A. FERGUSON

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
AMERICAN ISRAEL EDUCATION FOUND.		AUG 18–24	WASH, D.C.-ISRAEL-WASH, D.C.	Y	Y	N	N

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Name MICHAEL A. FERGUSON Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	ROBERTA AND THOMAS FERGUSON FAMILY FOUNDATION
HONORARY ADVISORY BOARD MEMBER	LINK COMMUNITY SCHOOL
HONORARY BOARD MEMBER OF TRUSTEES	I CAN TALK FOUNDATION

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 13 PM 12:39
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
9
MC

BOB FILNER
(Full Name)

2463 RAYBURN HOUSE OFFICE BLDG.
WASHINGTON, DC 20515
(Mailing Address)

Daytime Telephone: 225-7933

Filer Status: ☒ Member of the U.S. House of Representatives State: CA District: 50 ☐ Officer or Employee Employing Office:

Report Type: ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes ☒ No ☐

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes ☐ No ☒

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes ☒ No ☐

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.** Yes ☒ No ☐

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes ☒ No ☐

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes ☐ No ☒

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.** Yes ☒ No ☐

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes ☐ No ☒

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes ☐ No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☒

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Bob Filner	5/11/01

Name BOB FILNER

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	SELF-EMPLOYED CONSULTANT	SPOUSE SALARY	NA
	PUBLIC EMPLOYEES RETIREMENT SYSTEM	PENSION	$11,560

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name BOB FILNER

Page 3 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah KY accounts						X									X										X						
	GUARDIAN MUTUAL FUND (NEUBERGER + BERMAN)			X										X			X					X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BOB FILNER

Page 4 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	ML TECHNOLOGY VENTURES	X														X	X				X											PARTNERSHIP TERMINATED
	NAT'L HEALTH INSUR. Co. #1				X											X							X									
	OCTUS, INC.		X											X							X											
	SAN DIEGANS for BOB FILNER	X														(NA)										X						DEBT FORGIVEN
	USE CREDIT UNION	X														X						X										CLOSED ACCT

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name BOB FILNER

Page 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	BANK of AMERICA (checking)			X												X						X										
	CONGRESSIONAL FCU						X									X								X								
	L.A. COUNTY SANIT. BONDS			X												X							X									
	S.D. COUNTY CTBS BOND-2001	X														X							X									S
	S.D. COUNTY CTBS BOND-2006				X											X								X								
	CALIF. HEALTH FCS BOND				X											X							X									
	NAT'L HEALTH INSUR CO. #2						X									X										X						
	FRESNO SCHOOL. DIST. BOND				X											X								X								
	IRA- MESIROW FINANCIAL					X								X			X							X								
	RESERVE MONEY FUND (MESIROW)				X									X									X									
	GE LIFE COMMONWEALTH ANN.						X							X							X											
	ROBLA CA SCHOOL DIST. BOND				X											X								X								
	FRESNO CA SUM BOND				X											X								X								
	LONG BEACH CA BOND				X											X							X									
	CALIF HFFA BOND				X											X								X								
	ABBOTT LABS STOCK			X										X								X										
	CHASE MANHATTAN STOCK			X										X									X									

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name BOB FILNER

Page 6 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	KULICKE & SOFFA STOCK			X										X							X											
	LSI LOGIC CORP. STOCK			X										X							X											
	MIPS TECH. INC. STOCK		X											X							X											
	MOTOROLA INC. STOCK			X										X								X										
	NOVELL INC. STOCK			X										X							X											

This page may be copied if more space is required.

Name BOB FILNER

Page 7 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10–12–01		x								
	S.D. COUNTY CTBS BOND -2001		X		9-4-01	X									

This page may be copied if more space is required.

Name BOB FILNER

Page 8 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	CONGRESSIONAL FED. CREDIT UNION	HOME IMPROVEMENT LOAN	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name BOB FILNER | Page 9 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Metropolitan Water District of Southern California	JAN 18-19	San Diego, CA — Moab, UTAH — Washington, DC	Y	Y	N	N
	Air Force Sergeants Assoc	AUG. 20-21	San Diego, CA — St. Louis, MO — San Diego, CA	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(4)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9: 14
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

JEFFRY LANE FLAKE
(Full Name)

4222 E McLellan #19 mesa AZ 85205
(Mailing Address)

480-654-3118
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: AZ District: 01	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5-15-02

Name

Page ___ of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	JEFF FLAKE FOR CONGRESS	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name

Page ___ of ___

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	CISCO SYSTEMS			X																												
	APOLLO GROUP			X																												
	VITAL WORKS			X																												P
	EQUITABLE MUTUAL FUND				X																											

For additional assets and unearned income, use next page.

Name	Page ___ of ___

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
DIRECTOR	GOLDWATER INSTITUTE
DIRECTOR	ARIZONA SCHOOL CHOICE TRUST
DIRECTOR	UNIVERSITY OF PHOENIX ADVISORY COUNCIL

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

Form A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3:40
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
Office Use Only

MC ⑦

Rep. Ernest (Ernie) Lee Fletcher
(Full Name)

1117 Longworth House Office Building
Washington DC 20515
(Mailing Address)

Daytime Telephone: 202/225-4706

Filer Status	☒ Member of the U.S. House of Representatives — State: KY District: 06	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, apppearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset worth more than $1,000 in the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

TRUSTS--Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION. Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, 104 and 18 U.S.C. 1001).

CERTIFICATION	SIGNATURE OF REPORTING INDIVIDUAL	DATE (Month/Day/Year)
I CERTIFY that the statements I have made on this form, and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ernie Fletcher	5.15.02

Name Rep. Ernest (Ernie) Lee Fletcher

Page 2 **of** 7

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	BLOCK A **Asset and/or Income Source**	BLOCK B **Value of Asset**	BLOCK C **Type of Income**	BLOCK D **Amount of Income**	BLOCK E **Transaction**
	Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e. one where you have the power to select the specific investments), provide information on each asset in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year. **Exclude:** Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interests in or income derived from U.S. Government retirement programs If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it generated income, the value should be "None."	If other than one of the listed categories, specify the type of income by writing a brief description in this block.	For retirement plans that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	Indicate if asset was purchased(P), sold(S), or exchanged(E) in reporting year.
SP, DC, JT *Examples:*	Mega Corp. Stock	$15,001 - $50,000	Dividends	$201 - $1,000	P
SP	123 Main St., Dover, Del.	$250,001 - $500,000	Rent	$1,001 - $2,500	
	1st Bank of Paducah, KY accounts	$50,001 - $100,000	Interest	$5,001 - $15,000	
	PNC Bank Accts	$1,001 - $15,000	Interest	$1 - $200	
	Edward D. Jones Acct	$1,001 - $15,000	Dividends	$201 - $1,000	
	Health Finance Inc IRA	$100,001 - $250,000	Capital Gains	$2,501 - $5,000	
	Q Med Inc IRA & non-IRA	$1,001 - $15,000	Capital Gains and Dividends	None	S
	Applied Materials IRA (purchased more)	$1,001 - $15,000	Capital Gains and Dividends	None	P
	Goldman Sachs IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	
	Small Cap World Fund IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	

Name Rep. Ernest (Ernie) Lee Fletcher | **Page** 3 of 7

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

Templeton Fund IRA	$15,001 - $50,000	Capital Gains and Dividends	$1 - $200	
Atmel Corp IRA	$1,001 - $15,000	Capital Gains and Dividends	None	
Fidelity Investments IRA	$15,001 - $50,000	Capital Gains and Dividends	$1,001 - $2,500	
Cisco System Inc IRA	$1,001 - $15,000	Capital Gains and Dividends	None	
Dollar General Corp IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	S
Gillette Co IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	S
3 Com IRA	$1 - $1,000	Capital Gains and Dividends	None	
Physician Computer Network Stock	$1 - $1,000	Dividends	None	S
Rental Property - 12 Moorefield Ct, Durham, NC	$100,001 - $250,000	Rent	$1,001 - $2,500	
DuPont IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	NA
Conoco, Inc IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	NA
Caremark IRA	$1,001 - $15,000	Capital Gains and Dividends	None	NA
Bank of America IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	NA
Lucent Technologies IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	NA
Palm, Inc. IRA	$1 - $1,000	Capital Gains and Dividends	None	NA
Wells Fargo IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	NA
World Com IRA (MCI spun off & sold/kept non-MCI portion of World Com)	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	S
Lexmark Stock	$1,001 - $15,000	Dividends	None	NA

Name Rep. Ernest (Ernie) Lee Fletcher | **Page** 4 **of** 7

SCHEDULE III -- ASSETS AND "UNEARNED" INCOME

	Williams Co. IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	S
	Microsoft IRA	$1,001 - $15,000	Capital Gains and Dividends	None	NA
	SBC Communications IRA	$1,001 - $15,000	Capital Gains and Dividends	$201 - $1,000	NA
	Williams Communication IRA	$1 - $1,000	Capital Gains and Dividends	None	NA
	Oracle Systems IRA	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P
	Citigroup Stock	$1,001 - $15,000	Capital Gains and Dividends	$1 - $200	P

Name Rep. Ernest (Ernie) Lee Fletcher | **Page** 5 of 7

SCHEDULE IV -- TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP,DC,JT	Asset	Type of Transaction	Date	Amount of Transaction
Example	Mega Corporation Common Stock	Purchase	10/12/1999	$15,001 - $50,000
	World Com (MCI portion - less than $1,000)	Sold	7/30/01	$1,001 - $15,000
	Oracle Systems	Purchase	9/28/01	$1,001 - $15,000
	Applied Materials	Purchase	9/28/01	$1,001 - $15,000
	Gillette	Sold	9/28/01	$1,001 - $15,000
	Q Med Inc.	Sold	9/28/01	$1,001 - $15,000
	Citigroup Inc.	Purchase	10/01/02	$1,001 - $15,000
	Dollar General	Sold	11/28/01	$1,001 - $15,000
	Physicians Comp Network Stock (less than $1,000)	Sold	12/3/01	$1,001 - $15,000
	Williams Co.	Sold	12/20/01	$1,001 - $15,000

Name Rep. Ernest (Ernie) Lee Fletcher | **Page** 6 **of** 7

SCHEDULE V – LIABILITIES

Report liabilities of over $10,000 owed to any one creditor **at any time** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year

Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report **revolving charge accounts** only if the balance at the close of preceding calendar year exceeded $10,000.

SP,DC,JT	Creditor	Type of Liability	Amount of Liability
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.	$100,001 - $250,000
	Countrywide Home Loans, Raleigh, NC	Rental Property Loan	$50,001 - $100,000

Name Rep. Ernest (Ernie) Lee Fletcher

Page 7 of 7

SCHEDULE VII -- TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. 7342), political travel that is required to be reported under the Federal Election Campaign Act, travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples: Chicago Chamber of Commerce	Mar. 2	Wash., D.C.-Chicago-Wash., D.C.	N	N	N	N
Mega Corporation	Aug 6-13	Wash., D.C.-Los Angeles-Cleveland	Y	Y	Y	4 Days
Harvard University - JFK School of Gov't - Health Care Conference	Jan. 8-10,2001	DC - FL - DC	Y	Y	Y	Jan. 11-14, 2001
Nat'l Assn of Mfgs - Annual Mtg	Feb. 23-25,2001	KY-FL-KY	Y	Y	Y	N/A
The Aspen Institute - Bi-Partisan Retreat	Mar. 9-11,2001	DC-WVA-DC	Y	Y	Y	N/A
Congressional Sportsmen's Caucus Foundation - Farm Bill Rdtable & Event for Fdn	Mar. 16-18,2001	DC-IA-DC??	Y	Y	N	N/A
Ripon Educational Fund - Trans-Atlantic Conference	Aug. 10-17,2001	DC-Scotland	Y	Y	Y	N/A
American/Israel Educational Foundation - Ed/Fact Finding Mission	Aug. 18-26,2001	Scotland-Israel-KY	Y	Y	Y	N/A
American Horse Council - reimbursed - Horse Breeding Educational Session	Oct. 26-28,2001	DC-NY-DC	Y	Y	Y	N/A

HAND DELIVERED

(10)

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 5: 14

U.S. HOUSE OF REPRESENTATIVES

MC

(Office Use Only)

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 10
For use by Members, officers, and employees

Mark A. Foley
(Full Name)

104 Cannon Washington, DC 20515
(Mailing Address)

202-225-5792
(Daytime Telephone)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: FL District: 16	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Mark Foley	5/15/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark A. Foley

Page 2 of 10

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Wright Patman	$1,001 - $15,000	INTEREST	$1 - $200	
Wright Patman CD	$1,001 - $15,000	INTEREST	$201 - $1,000	
Life Insurance	$15,001 - $50,000	INTEREST	$201 - $1,000	
First Union Checking	$1,001 - $15,000	INTEREST	$1 - $200	
Virtual Sellers	$1,001 - $15,000	CAPITAL GAINS	NONE	
Avaya	$1 - $1,000	CAPITAL GAINS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME | Name Mark A. Foley | Page 3 of 10

	America Online	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Columbia Labs	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Compaq	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Walt Disney	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Fleet Boston	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Internet Capital	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Imprim's	$1 - $1,000	DIVIDENDS	NONE	
	Lucent	$1,001 - $15,000	DIVIDENDS	NONE	
	McDonalds	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Wachovia	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Florida Power & Light	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	America Online	$1,001 - $15,000	CAPITAL GAINS	NONE	
	AT&T Wireless	$1 - $1,000	CAPITAL GAINS	NONE	
	AllState	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark A. Foley

Page 4 of 10

	ATT	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Community Svgs	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Disease Science	$1 - $1,000	DIVIDENDS	NONE	
	Gillette	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Internet Cap.	$1,001 - $15,000	DIVIDENDS	NONE	
	Imprim's	$1 - $1,000	DIVIDENDS	NONE	
	Health Care Reit	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
	Home Depot	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Kramont Realty	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
	New Visual Corp	$1 - $1,000	CAPITAL GAINS	NONE	
	Oklahoma Energy	$1 - $1,000	CAPITAL GAINS	NONE	
	JC Penney	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Televideo	$1 - $1,000	CAPITAL GAINS	NONE	
	The Street.Com	$1,001 - $15,000	CAPITAL GAINS	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark A. Foley

Page 5 of 10

	Virtual Sellers	$1,001 - $15,000	CAPITAL GAINS	NONE	
	Verizon	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	World Com	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	World Comm/MCI	$1 - $1,000	DIVIDENDS	$1 - $200	
	Banyan Hotel	$1 - $1,000	CAPITAL GAINS	NONE	
	IBM	None	CAPITAL GAINS	$15,001 - $50,000	S
	Columbia Laboratories	None	CAPITAL GAINS	$1,001 - $2,500	S
	Conesco Inc	None	CAPITAL GAINS	$15,001 - $50,000	S
	Sonera	None	CAPITAL GAINS	$1,001 - $2,500	S
	Office Depot	None	CAPITAL GAINS	$5,001 - $15,000	S
	Riggs Bank	None	CAPITAL GAINS	$5,001 - $15,000	S
JT	Cendant	$1,001 - $15,000	CAPITAL GAINS	$2,501 - $5,000	
JT	Johnson & Johnson	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
JT	McDonalds	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark A. Foley

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JT	Virtual Sellers	$1 - $1,000	CAPITAL GAINS	NONE	
JT	Ford Motor	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
JT	Fleet Boston	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	
JT	GoAmerica, Inc	$1,001 - $15,000	CAPITAL GAINS	NONE	
JT	HoneyWell Inc	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
JT	IVAX	$1,001 - $15,000	CAPITAL GAINS	NONE	
JT	Cisco	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	Corning	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	BE Aerospace	None	CAPITAL GAINS	$1,001 - $2,500	PS
JT	Sonera Corp	None	CAPITAL GAINS	$201 - $1,000	S
JT	Cendant Corp	None	CAPITAL GAINS	$201 - $1,000	PS
JT	Conseco	None	CAPITAL GAINS	$15,001 - $50,000	S
JT	Ford Motor Corp	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	GO America Inc	$1,001 - $15,000	CAPITAL GAINS	NONE	P

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Mark A. Foley

Page 7 of 10

JT	Home Depot	None	CAPITAL GAINS	$2,501 - $5,000	PS
JT	IVAX Corp	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	Office Depot	None	CAPITAL GAINS	$15,001 - $50,000	S
JT	Office Depot	None	CAPITAL GAINS	$5,001 - $15,000	S
JT	Proctor & Gamble	None	CAPITAL GAINS	$5,001 - $15,000	S
JT	Sara Lee	None	CAPITAL GAINS	$2,501 - $5,000	S
JT	Virtual Sellers	$1 - $1,000	CAPITAL GAINS	NONE	P
JT	Cisco Systems	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	Corning	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	Halliburton	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	Kroger Co	$1,001 - $15,000	CAPITAL GAINS	NONE	P
JT	Honeywell	$1,001 - $15,000	CAPITAL GAINS	NONE	P

SCHEDULE IV - TRANSACTIONS

Name Mark A. Foley

Page 8 of 10

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Cisco	P	12-31-01	$1,001 - $15,000
JT	Corning	P	12-31-01	$1,001 - $15,000
JT	BE Aerospace	PS	9-24-01 10-19-01	$1,001 - $15,000
JT	Sonera Corp	S	12-27-01	$1,001 - $15,000
JT	Cendant Corp	PS	01-18-01 04-06-01	$1,001 - $15,000
JT	Conseco	S	04-06-01	$15,001 - $50,000
JT	Ford Motor Corp	P	10-11-01	$1,001 - $15,000
JT	GO America Inc	P	03-13-01	$1,001 - $15,000
JT	Home Depot	PS	09-24-01 12-17-01	$1,001 - $15,000
JT	IVAX Corp	P	10-10-01	$1,001 - $15,000
JT	Office Depot	S	04-06-01	$15,001 - $50,000
JT	Office Depot	S	07-27-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Mark A. Foley

Page 9 of 10

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Proctor & Gamble	S	12-13-01	$1,001 - $15,000
JT	Sara Lee	S	04-06-01	$1,001 - $15,000
JT	Virtual Sellers	P	09-20-01	$1,001 - $15,000
JT	Halliburton	P	12-31-01	$1,001 - $15,000
JT	Kroger Co	P	12-31-01	$1,001 - $15,000
JT	Honeywell	P	09-24-01	$1,001 - $15,000
	IBM	S	12-26-01	$15,001 - $50,000
	Columbia Laboratories	S	12-27-01	$1,001 - $15,000
	Conesco Inc	S	05-01-01	$15,001 - $50,000
	Sonera	S	12-27-01	$1,001 - $15,000
	Office Depot	S	07-27-01	$1,001 - $15,000
	Riggs Bank	S	12-27-01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Mark A. Foley

Page 10 of 10

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Confederation of Indian Industry	1/6 - 1/15	Wash.,DC- India - Wash, DC	Y	Y	N	N/A
United Distillers & Vinters of North America	1/29-1/30	Wash.,DC - Orlando, FL, Wash.,DC	Y	Y	N	N
Recording Industry of America	3/15-3/16	Wash.,DC - New York City, NY, Wash., DC	N	Y	N	N
Invest to Compete Alliance	7/4-7/8	Wash., DC - Boston - Wash., DC	Y	Y	N	N
Ripon Education Fund	8/10 - 8/18	Florida - Scotland - Florida	Y	Y	N	N
National Association of Realtors	11/2 -11/5	Wash., DC - Chicago - Wash., DC	Y	N	N	N

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 3: 12
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC
(Office Use Only)

James Randy Forbes
(Full Name)

409 Packer Road, chesapeake, Virginia 23322
(Mailing Address)

757-547-4912
(Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives — State: Virginia District: 4	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J Randy Forbes	5/15/02

Name James Randy Forbes

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
*	Kaufman & Canoles, P.C.	Salary	81,258.29
	Kaufman & Canoles, P.C.	Spouse Salary	26,999.94
*	Commonwealth of Virginia	Senate Salary	16,291.42
	Gateway Bank & Trust	Spouse's Director's Fees	100.00
*	Represent salary for first half of year before		
	sworn in as member of congress		

For payments to charity in lieu of honoraria, use Schedule II.

Name James Randy Forbes

Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name James Randy Forbes

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Bank of Tidewater					X								X												X						
	stock																															
	524 Johnstown Rd.						X								X												X					
	Ches. Va. office Bldg.																															

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James Randy Forbes

Page 5 of 9

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Great Bridge Title & Distribution (stock)		X											X												X						
SP	First Commonwealth Title LLC (Stock)		X											X												X						
	U.S. Bank IRA			X												X							X									
	532 Johnstown Rd Chesapeake, Va. (Rental House)						X								X											X						
	1391 Duck Road Dare County, N.C. (Beach House)						X													no income	X											

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SCHEDULE IV — TRANSACTIONS

Name James Randy Forbes

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001 $50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		x								
	Kaufman & Canoles, P.C. Stock		X		7-1-02		X								

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Name James Randy Forbes

Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Malcolm J. Forbes, Sr.	Mortgage 524 Johnstown Rd. Ches. Va.		X								
	Bank of Tidewater	〃			X							
	Gateway Bank & Trust	Construction Loan Mtg on 524 & 532 Johnstown Rd. Ches. Va.						X				

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name James Randy Forbes | Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
American Israel Public Affairs Committee / American Israel Education Foundation		Aug. 18 - 25, 2001	Richmond, Va. - Israel - Richmond, Va.	Y	Y	Y	N
Madison Project		July 21, 2001	Norfolk, Va. - Florida - Norfolk, Va.	N	Y	N	N

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Name James Randy Forbes | Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
attorney	Kaufman & Canoles, P.C. (Held only in 2001)
Senate	Commonwealth of Virginia (Held only in 2001)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	None	

GPO: 2002 77-781 (msc)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

(6)

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:00
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

HAROLD FORD, JR.
(Full Name)

58 Rivermist, Memphis, TN 38103
(Mailing Address)

(202) 225-3265
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: Tennessee District: 9th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

Name HAROLD FORD, JR.	Page 2 of 6

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
CITY OF CHICAGO	SPEECH	Jan. 11, 2001	$3,500.00*
ASSOCIATION OF BLACK CARDIOLOGISTS	SPEECH	Mar. 14, 2001	$2,000.00
POLITICALLY INCORRECT	TV APPEARANCE	May 30, 2001	$500.00
100 BLACK MEN OF GREATER KNOXVILLE	SPEECH	June 22, 2001	$1,235.47
NATIONAL BAPTIST SUNDAY CHURCH SCHOOL AND BAPTIST TRAINING UNION CONGRESS	SPEECH	June 27, 2001	$5,000.00*
POLITICALLY INCORRECT	TV APPEARANCE	June 12, 2001	$500.00
FIREMAN'S FUND INSURANCE	SPEECH	May 3, 2001	$500.00
JEFFERSON COUNTY COMMITTEE FOR ECONOMIC OPPORTUNITY	SPEECH	Nov. 12, 2001	$2,000.00
*Member has requested charity return excessive donation to Source.			

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Name HAROLD FORD, JR. | Page 3 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:*	Mega Corp. Stock					X								X										X								P
DC	*Examples:*	Simon & Schuster		Indefinite																	Royalties									X			
JT	*Examples:*	1st Bank of Paducah, KY accounts						X									X										X						
		FIRST FUNDS - GROWTH & INCOME FUND			X										X		X	X						X									P

For additional assets and unearned income, use next page.

Name HAROLD FORD, JR. | Page 4 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor		Type of Liability	Amount of Liability									
				B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	WILLIAM D. FORD FEDERAL DIRECT LOAN PROGRAM, US DEPT. OF EDUCATION		EDUCATIONAL LOAN	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name HAROLD FORD, JR. | **Page** 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
City of Chicago		1/11-1/12	Memphis-Chicago-Washington	Y	Y	N	N
Novagradac Corporation		1/5-1/6	Memphis-Orlando-Nashville	Y	Y	N	N
African American Student Union Harvard Business School		2/24-2/25	Memphis-Boston-Miami	Y	Y	N	N
University of Nevada-Las Vegas		3/2-3/4	Memphis-Las Vegas-Nash.	Y	Y	N	N
Association of Black Cardiologists		3/17-3/18	Memphis-Orlando-Miami	Y	Y	N	N
University of Michigan Black Law Students Association		3/24-3/25	Jacksonville,FL-Det.-DC	Y	Y	N	N
First Baptist Church of Indianapolis, IN		4/1	DC-Indianapolis-Memphis	N	N	N	N
Harvard University Institute of Politics		4/11-4/12	Memphis-Boston-Memphis	Y	Y	N	N
Dance Theater of Harlem		5/10-5/11	DC-New York-DC	Y	Y	N	N
Black Enterprises Unlimited		5/19-5/20	Memphis-Nashville-Phil.	Y	Y	N	N
Politically Incorrect		5/25-5/30	Memphis-Los Angelas-Mem.	Y	Y	N	4 days
Massachusetts Democratic Party		6/1-6/2	Memphis-Hartford-Knoxville	Y	Y	N	N
100 Black Men of Knoxville		6/2-6/3	Knoxville-Memphis	Y	Y	N	N

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Name HAROLD FORD, JR.	Page 5 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
National Baptist Sunday Church School and National Baptist Training Union Congress		6/15	Memphis-Detroit-Memphis	N	N	N	N
Chicago Stock Exchange		6/8	Miami-Chicago-DC	N	Y	N	N
Points of Light Foundation		6/29	DC-Minneapolis-Memphis	N	N	N	N
Alabama Emeriging Leaders Conference-State of Alabama		11/11-11/12	New York-Birmingham-Nashville	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(a) HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:43
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Vito John Fossella (Full Name)
15 Grandview Terrace
Staten Island, NY 10308 (Mailing Address)
Daytime Telephone: (718) 356-8400

Filer Status	☑ Member of the U.S. House of Representatives State: New York District: 13	☐ Officer or Employee	Employing Office:
Report Type	[✓ ☑ Annual (May 15)]	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☑
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		05/15/02

Name Vito John Fossella

Page 1 of 1

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	B: A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	D: I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster	Indefinite																		Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	Chase Manhattan Bank Acc't			X												X						X										
DC	Chase Manhattan Bank Acc't			X												X						X										
DC	Chase Manhattan Bank Acc't			X												X						X										
	NYC Deferred Comp				X									X										X								
SP	Chase Manhattan IRA					X										X										X						
	Merrill Lynch Mutual Fund			X										X								X										

For additional assets and unearned income, use next page.

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 7
For use by Members, officers, and employees

(Office Use Only)

Barney Frank
(Full Name)

2252 Raybum Bldg. US House of Representatives Washington, DC 20515
(Mailing Address)

202-225-5931
Daytime Telephone

Filer Status	☑ Member of the U.S. House of Representatives	State: MA District: 4	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 15, 2002

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Barney Frank

Page 2 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	TIAA-CREF Retirement Account	$15,001 - $50,000	None	NONE	NA
	McGraw-Hill Publishing Co. (Hightstown, NJ)	Indefinite	Royalties	$1 - $200	NA
	AIM Stock IRA	$15,001 - $50,000	None	NONE	S
	Citizens Bank savings & checking accounts	$1,001 - $15,000	INTEREST	$1 - $200	NA
	4 Percent Interest in Breadline Restaurant (Washington, DC)	$15,001 - $50,000	None	NONE	NA
	1401 17th Street, NW, Washington, DC (personal residence)	$100,001 - $250,000	None	NONE	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Barney Frank

Page 3 of 7

	Salomon Smith Barney Brokerage Acct. -- Money Fund	$1 - $1,000	DIVIDENDS	$1 - $200	NA
	Washington Mutual Fund	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$201 - $1,000	S
	Centennial Money Market Trust (IRA)	$1,001 - $15,000	INTEREST	$1 - $200	NA
	Liberty Funds Trust II (IRA)	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	NA
	Pilgrim Mutual Funds Large Capital Growth Fund (IRA)	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	NA
	UTS Nuveen Dow Portfolio	$1,001 - $15,000	CAPITAL GAINS	$201 - $1,000	NA
	UTS Nuveen Nasdaq 100 Index (IRA)	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	NA
	Mass. Investors Growth Stock Fund	$15,001 - $50,000	CAPITAL GAINS	$201 - $1,000	NA
	Mass. Housing Finance Agency *bonds)	$1,001 - $15,000	INTEREST	$201 - $1,000	NA
	Mass. Industrial Finance (bonds)	$1,001 - $15,000	INTEREST	$201 - $1,000	NA
	Mass. State bonds consolidated loan	$15,001 - $50,000	INTEREST	$201 - $1,000	NA
	Smith Barney Social Awareness Fund	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	P
	Calvert Social Investment Fund	$15,001 - $50,000	CAPITAL GAINS and DIVIDENDS	$1,001 - $2,500	P

SCHEDULE IV - TRANSACTIONS

Name Barney Frank

Page 4 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Washington Mutual Fund	S	07-16-01	$15,001 - $50,000
	Aim Stock IRA (Boston, MA)	S	07-16-01	$15,001 - $50,000
	Smith Barney Social Awareness Fund	P	08-02-01	$50,001 - $100,000
	Calvert Social Investment Fund	P	08-02-01	$50,001 - $100,000

SCHEDULE V - LIABILITIES

Name Barney Frank

Page 5 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Flagstar Bank (Bingham Farms, MI)	Mortgage on 1401 17th Street, NW (personal residence)	$50,001 - $100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Barney Frank

Page 6 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Human Rights Campaign [speech]	Feb. 16-18	Wash., DC -- Cary, NC (via Raleigh-Durham Airport) -- Wash., DC	N	N	N	NA
Intl. Management & Development Inst. (Wash., DC) [roundtable discussions]	Feb. 21-24	Wash., DC -- Dusseldorf -- Brussels -- Boston -- Wash., DC	Y	Y	N	NA
Univ. Of Pennsylvania; HIAS and Council Migration Service [two speeches]	March 25-26	Wash., DC -- Philadelphia -- Boston	Y	Y	N	NA
Central Calif. Alliance (Fresno) [speech]	April 9 - 11	Wash., DC -- Sacramento -- Fresno -- San Francisco -- Buffalo	Y	Y	N	1 Day (Buffalo)
Hobart & William Smith Colleges [speech]	April 12-13	Geneva, NY -- Rochester, NY -- Wash., DC	Y	N	N	NA
Hampshire College [speech]	May 4	Wash., DC -- Hartford, CT -- S. Hadley, MA	N	N	N	1 Day (S. Hadley)
Dartmouth College [speech]	May 14-15	Boston -- Hanover, NH -- Fall River, MA	Y	N	N	NA
Mass. AFL-CIO [speech at conference]	May 26-27	Boston -- Falmouth, MA -- Boston 1	Y	N	N	NA

1. Lodging only; transportation costs paid by official Congressional funds.

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Barney Frank

Page 7 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Young Democrats of America [speech at national conference]	Aug. 10-11	San Diego -- Tucson -- Baltimore[2]	Y	Y	N	NA
Kentucky Fairness Alliance Ed. Fund [speech[	Aug. 25-26	Lexington, KY -- Providence, RI [3]	Y	N	N	NA
Univ. Of Minnesota [lecture]	Sept. 28-30	Wash., DC -- Minneapolis -- Denver	Y	N	N	NA
Jefferson County (CO) Democrats [receptions]	Sept. 30-Oct. 1	Denver -- Wash., DC	Y	Y	N	NA
Oberlin College [speech]	Oct. 13-14	Wash., DC -- Cleveland -- Boston	Y	Y	N	NA
New School University [speech]	Oct. 28-30	Wash., DC -- New York -- Wash., DC	Y	N	N	1 Day (New York City)
National Stonewall Democrats [reception]	Nov. 30 - Dec. 1	Boston -- Philadelphia -- Boston	Y	N	N	NA
National Stonewall Democrats [receptions]	Dec. 7-10	Boston -- Palm Springs -- Las Vegas	Y	N	N	NA
Washoe County (NV) Democrats [rally & reception]	Dec. 10-11	Las Vegas -- Reno -- Wash., DC	Y	N	N	NA

2. Travel to San Diego paid by personal funds.
3. Travel to Lexington paid for by Gutierrez for Congress committee.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

40

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U.S. HOUSE OF REPRESENTATIVES

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(Office Use Only)

Rodney P. Frelinghuysen (Full Name)

335 James Street
Morristown, New Jersey 07960 (Mailing Address)

(908) 439-3499 (Tina)
Daytime Telephone:
(202) 225-5034 (Rodney)

Filer Status	☒ Member of the U.S. House of Representatives — State: New Jersey District: 11	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☒	No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	R P. Frelinghuysen	5/15/02

Name Rodney P. Frelinghuysen | Page 2 of 40

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	NONE		

For payments to charity in lieu of honoraria, use Schedule II.

Name Rodney P. Frelinghuysen	Page 3 of 40

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

This page may be copied if more space is required.

Name Rodney P. Frelinghuysen

Page 4 of 40

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples:	SP	Mega Corp. Stock					X								X										X								P
DC,			Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
			See Continuation																															
			Sheets																															
			Pages 5 thru 27																															

For additional assets and unearned income, use next page.

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

ASSETS	YEAR-END VALUE	INCOME TYPE	2001 INCOME	2001 TRANSACTION
Johnson & Johnson	H	DIV	VI	
Pall Corp.	F	DIV	V	DIV REINVEST.
Peapack Gladstone Financial Corp.	F	DIV	IV	
Fleet Boston Financial (Formerly, Summit Bancorp., NJ)	F	DIV	VI	E
Valley National Bancorp - NJ	C	DIV	II	
Procter & Gamble Co.	I	DIV	VII	DIV REINVEST.
International Business Machines	I	DIV	VI	DIV REINVEST.
Eli Lilly & Co.	I	DIV	VII	DIV REINVEST.
Computer Technology (IRA)	C	NONE	I	
Freedom Cash Management Fund(IRA)	C	DIV	II	
Peapack Gladstone Bank (CKG)	E	INT	IV	
Chase Manhattan(SVGS)	D	INT	III	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

ASSETS	YEAR-END VALUE	INCOME TYPE	2001 INCOME	2001 TRANSACTION
Congressional Federal Credit Union	C	INT	I	
Aetna, Inc. NEW	D	DIV	II	E
Merck & Co., Inc.	G	DIV	VI	
Pfizer, Inc.	H	DIV	VI	
CATS - PRIN - Ser K	C	OID INT	II	
CATS - PRIN - Ser M	D	OID INT	IV	
CATS - PRIN - Ser Q	C	OID INT	III	
Federated U.S. Government	F	INT	V	P
Motorola, Inc.	D	DIV	III	
Intel Corp.	E	DIV	II	
American Express	D	DIV	III	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

ASSETS	YEAR-END VALUE	INCOME TYPE	2001 INCOME	2001 TRANSACTION
Lucent Technologies, Inc.	C	DIV	II	
Diversa Corp.	C	NONE	I	
Exodus Communication, Inc.	A	NONE	I	S
Digex, Inc.	A	NONE	I	S
Schering Plough Corp.	C	DIV	III	
Microsoft Corp.	C	NONE	I	
Fleet Bank - Svgs (Formerly Summit Bank)	C	INT	II	
JP Morgan Funds	C	DIV	II	P
17.923 Acres unimproved land, Frelinghuysen Twp., NJ (Commercial Value 2/26/97)	F			

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

ASSETS	YEAR-END VALUE	INCOME TYPE	2001 INCOME	2001 TRANSACTION
1/5th undivided interest in 235.8 acres of unimproved land, Stockbridge, Ma. (Est.Value)	E			

NOTE: Avaya excluded, Fair Market Value $389.00, no income.

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : Marital Trust U/W Rodney Procter, Peter H. B. Frelinghuysen, Trustee (1/10th income interest)*

* All Assets are held in trust, and all transactions are initiated by the Trustee

The trust was not created directly by Rodney, his spouse or any dependents.

They are neither consulted nor give advice regarding these investments.

Neither Rodney, his spouse or any dependents receives monthly, quarterly, yearly reports of any type regarding this trust, excepting the Yearly K-1. Therefore, it qualifies as an Excepted Trust.

2001 Income received	V

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : Non-Marital Trust U/W Rodney Procter, Peter H. B. Frelinghuysen, Trustee (1/10th income interest)*

* All Assets are held in trust, and all transactions are initiated by the Trustee

The trust was not created directly by Rodney, his spouse or any dependents.

They are neither consulted nor give advice regarding these investments.

Neither Rodney, his spouse or any dependents receives monthly, quarterly, yearly reports of any type regarding this trust, excepting the Yearly K-1. Therefore, it qualifies as an Excepted Trust.

2001 Income received IX

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : A.H. Frelinghuysen 1950 Trust,
Peter H. B. Frelinghuysen, Trustee
(1/5 income interest)*

* All Assets are held in trust, and all transactions are initiated by the Trustee

The trust was not created directly by Rodney, his spouse or any dependents.

They are neither consulted nor give advice regarding these investments.

Neither Rodney, his spouse or any dependents receives monthly, quarterly, yearly reports of any type regarding this trust, excepting the Yearly K-1. Therefore, it qualifies as an Excepted Trust.

2001 Income received VII

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMEN

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : Peter H.B. Frelinghuysen Trust U/D dated 1/17/57, Peter H.B. Frelinghuysen and George L. K. Frelinghuysen, Trustees (1/8th income interest)*

* All Assets are held in trust, and all transactions are initiated by the Trustee

The trust was not created directly by Rodney, his spouse or any dependents.

They are neither consulted nor give advice regarding these investments.

Neither Rodney, his spouse or any dependents receives monthly, quarterly, yearly reports of any type regarding this trust, excepting the Yearly K-1. Therefore, it qualifies as an Excepted Trust.

2001 Income Received VII

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : B. P. Frelinghuysen Trust U/A
4/3/73 Banker's Trust Company, New York, NY
Trustee (discretionary income interest)*

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Knight Ridder, Inc.	E	DIV	
Merck & Co., Inc.	G	DIV	
Procter & Gamble Co.	I	DIV	
Thomas & Betts Corp.	A	DIV	S
USX - Marathon Group	A	DIV	S
USX - U S Steel	A	DIV	S
Banker's Trust Co. Tax Free Income Fund	F	DIV	
Banker's Trust Money Market Account	E	INT	S
American International Group	D	DIV	

All Assets listed are held in trust, and all transactions are initiated by the Trustee. Neither Rodney, his spouse or any dependents is consulted nor gives advice regarding these investments. However, Rodney does receive quarterly statements regarding this trust.

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Tyco International, Ltd.	D	DIV	
Cisco Systems, Inc.	C	NONE	
Intel Corp.	C	DIV	S
Sun Microsystems, Inc.	C	NONE	
Lucent Technologies, Inc.	A	DIV	S
American Express Co.	C	DIV	
Microsoft Corp.	C	NONE	
Juniper Networks, Inc.	C	NONE	
Pfizer	E	DIV	
Home Depot	C	DIV	P
Comcast Corp. CL 'A'	C	NONE	P
Eli Lilly & Co.	C	DIV	P

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
CitiGroup, Inc.	C	DIV	P
Fleet Boston Financial Corp.	C	DIV	P
JDS Uniphase Corp.	C	NONE	P
Texas Instruments, Inc.	C	DIV	P
General Electric Co.	C	DIV	P
Noble Drilling Corp.	C	NONE	P
2001 Income Received		VII	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : B. S. Procter Trust U/A
5/31/60 F/B/O Rodney P. Frelinghuysen
Peter Frelinghuysen & Rodney P. Frelinghuysen, Trustees

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Abbott Laboratories	F	DIV	
Bristol Myers Squibb Co.	F	DIV	
IMS Health, Inc.	D	DIV	
Moody's Corp. (Formerly Dun & Bradstreet Corp.)	D	Div	
R.H. Donnelley Corp.	C	DIV	
Gannett Co., Inc.	E	DIV	
H. J. Heinz Company	D	DIV	
Pepsico, Inc.	F	DIV	
Procter & Gamble Co.	J	DIV	
Electronic Data System Corp.	D	DIV	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Harcourt Gen., Inc.	A	DIV	S
Loews Corp.	F	DIV	
Motorola, Inc.	E	DIV	
CSX Corporation	D	DIV	
A T & T Corporation	C	DIV	
Lucent Technologies, Inc.	C	DIV	
SBC Communications	D	DIV	
Harcourt Gen., Inc. Ser A Conv.	A	DIV	S
North Brunswick Twp, N.J.	A	INT	S
Money Market Fund	H	INT	P
American Express Co.	E	DIV	
Rohm & Haas Co.	C	DIV	
McGraw-Hill Cos., Inc.	E	DIV	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Sherwin Williams Co.	E	DIV	
Neiman-Marcus Group CL 'B'	C	NONE	
Citigroup, Inc.	D	DIV	
Dun & Bradstreet Corp., NEW	C	NONE	
AT&T Wireless	C	NONE	SPIN-OFF
Zimmer Holdings, Inc.	C	NONE	SPIN-OFF
2001 Income Received		IX	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : V. T. Robinson Trust U/A dated 4/10/80, Fiduciary Trust Company, Boston, Ma. Trustee (spouse discretionary income interest)*

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
U. S. Treasury Notes	F	INT	REDEEMED
Passaic Cty NJ Ref - Gen Imp	E	INT	
New Jersey St. Trans. Tr. Fd Auth. Bond	F	INT	
Newark, NJ Sch. Qualified Bond	F	INT	
Port Auth. NY & NJ Cons.	F	INT	
Deptford Twp.NJ School District	F	INT	
Home Depot, Inc.	G	DIV	

* All Assets listed are held in trust, and all transactions are initiated by the Trustee

Rodney P. Frelinghuysen is neither consulted nor gives advise regarding these investments.

Spouse does receive quarterly statements regarding this trust.

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Tricon Global Restaurants	D	NONE	
Coca Cola Co.	E	DIV	
General Mills	E	DIV	
Pepsico, Inc.	F	DIV	
Phillip Morris Cos., Inc.	F	DIV	
Procter & Gamble Co.	D	DIV	
Bristol Myers Squibb Co.	D	DIV	
Merck & Co., Inc.	F	DIV	
Pfizer, Inc.	H	DIV	
Schering Plough Corp.	D	DIV	
Aetna, Inc., NEW	D	DIV	
American Int'l Group	D	DIV	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
J.P. Morgan Chase & Co. (Formerly, J.P. Morgan & Co.)	F	DIV	E
Electronic Data Systems Corp.	E	DIV	
General Electric Co.	G	DIV	
Emerson Electric Co.	E	DIV	
Parker - Hannifin Corp.	F	DIV	
Hewlett - Packard	E	DIV	
Intel Corp.	F	DIV	
International Business Machines	D	DIV	
Microsoft Corp.	G	NONE	
Motorola, Inc.	E	DIV	
BP PLC Sponsored ADR (Name Changed - Formerly, B P Amoco, PLC ADR)	E	DIV	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Enron Corp.	A	DIV	S
Exxon Mobil Corp	F	DIV	
Royal Dutch Petroleum Co.	D	DIV	
Union Pacific Corp.	D	DIV	
Anadarko Petroleum Corp.	D	DIV	
Scudder Int'l Fund	F	DIV	
Lucent Technologies	C	DIV	
Bank One Corp.	D	DIV	
Federal Nat'l Mortgage Assn.	E	DIV	
Cisco Systems, Inc.	F	NONE	
L. M. Ericsson Tel CL 'B'	E	DIV	
Scudder Tax Free Money Market	F	INT	S

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Corn Products Intn'l	C	DIV	
Templeton Emerging Markets Fund	D	DIV	
Bergen Cty NJ Ref -Gen. Imp	F	INT	
Worldcom, Inc. (Formerly MCI Worldcom,Inc)	C	NONE	
AOL Time Warner (Formerly, Time-Warner, Inc.)	D	DIV	E
EMC Corp. (MA)	D	NONE	
Nokia Corp. ADR	D	DIV	
Agilent Technologies	D	NONE	
Zimmer Holdings, Inc.	C	NONE	SPIN-OFF
Worldcom, Inc. - MCI Group	B	DIV	SPIN-OFF
2001 Income Received		IX	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE III

Identity : H. S. Robinson Trust U/A dated 12/16/82, Fiduciary Trust Company, Boston, Ma. Trustee (spouse discretionary income beneficiary)*

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
U. S. Treasury Notes (Various)	D	INT	REDEEMED
NJ (Tax Exempt) Muni Bond	A	INT	REDEEMED/SOLD
Bank One Corp.	E	DIV	
Coca Cola Co.	E	DIV	
General Mills	F	DIV	
Phillip Morris Cos., Inc.	F	DIV	
Abbott Labs	E	DIV	

* All Assets listed are held in trust, and all transactions are initiated by the Trustee

Rodney P. Frelinghuysen is neither consulted nor gives advise regarding these investments.

Spouse does receive quarterly statements regarding this trust.

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Merck & Co., Inc.	F	DIV	
Johnson & Johnson	F	DIV	
AT & T Wireless Services, Inc. (Formerly, AT & T Corp.)	D	NONE	Conversion/E
Lucent Technologies	C	DIV	
Bell South Corp.	F	DIV	
American Int'l Group	F	DIV	
J.P. Morgan Chase & Co. (Formerly, J.P. Morgan & Co.)	F	DIV	E
Electronic Data Systems Corp.	F	DIV	
Emerson Electric	E	DIV	
General Electric Co.	F	DIV	
Parker - Hannifin Corp.	E	DIV	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
Hewlett - Packard	D	DIV	
Intel Corp.	F	DIV	
Microsoft Corp.	G	NONE	
Motorola, Inc.	D	DIV	
Exxon Mobil Corp.	F	DIV	
Royal Dutch Petroleum	F	DIV	
Federal Nat'l Mortgage Assn.	E	DIV	
Pfizer, Inc.	G	DIV	
First Data Corp.	E	DIV	
Montclair NJ Gen. Oblig.	E	INT	
Newark NJ Sch. Qualified Bond	E	INT	
Cisco Systems, Inc.	E	NONE	

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET

HOLDINGS	YEAR-END VALUATION	INCOME TYPE	2001 TRANSACTION
L. M. Ericsson Tel. CL'B'	D	DIV	
Scudder Tax Free Money Market	E	INT	P
Burlington Cty NJ OID	F	INT	
NJ St. EDL FACS ATH REV Princeton Univ.	F	INT	
Worldcom, Inc.(Formerly MCI Worldcom, Inc.)	C	NONE	
AOL Time Warner (Formerly, Time-Warner, Inc.)	D	DIV	E
EMC Corp. (MA)	D	NONE	
Nokia Corp ADR	D	DIV	
Templeton Emerging Mkts Fund	C	DIV	
Agilent Technologies, Inc.	C	NONE	
2001 Income Received		VIII	

SCHEDULE IV — TRANSACTIONS

Name Rodney P. Frelinghuysen

Page 28 of 40

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	See Continuation Sheets														
	Pages 29 thru 37														

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ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
Qtrly. Div. Re-Invest.	Pall Corporation	P	B
Qtrly. Div. Re-Invest.	Procter & Gamble	P	D
Qtrly. Div. Re-Invest.	International Business Machines	P	B
Qtrly. Div. Re-Invest.	Eli Lilly & Co.	P	C
Various	Federated U.S. Government	P	C
03/07/01	Summit Bancorp (Exchanged for Fleet Boston Financial Corp.)	E	Even Exchange
03/07/01	Fleet Boston Financial Corp.	E	Even Exchange
12/19/01	Digex, Inc.	S	557.98
12/19/01	Exodus Communications	S	3.99
Various	JP Morgan Funds	P	B

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : B. P. Frelinghuysen Trust U/A
4/3/73 Banker's Trust Company, New York, NY
Trustee (discretionary income interest)*

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
Various	Banker's Trust Money Market Acct.	Redeemed	D
04/12/2001	Comcast Corp. CL 'A'	P	B
04/12/2001	CitiGroup, Inc.	P	B
04/12/2001	Corning, Inc.	P	B
04/12/2001	Enron Corp.	P	B
04/12/2001	Fleet Boston Financial Corp.	P	B
04/12/2001	General Electric Co.	P	B
04/12/2001	Lucent Technologies, Inc.	S	B
04/12/2001	Eli Lilly & Co.	P	B

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : B. P. Frelinghuysen Trust U/A
4/3/73 Banker's Trust Company, New York, NY
Trustee (discretionary income interest)*

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
04/12/2001	Noble Drilling Corp.	P	B
04/12/2001	Texas Instruments, Inc.	P	B
04/12/2001	Thomas & Betts Corp.	S	C
04/12/2001	USX - Marathon Group	S	B
04/12/2001	USX - U.S. Steel	S	B
04/12/2001	CVS Corp.	P	B
04/12/2001	JDS Uniphase Corp.	P	B
04/12/2001	Home Depot, Inc.	P	B
06/07/2001	Intel Corp.	S	B

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : B. P. Frelinghuysen Trust U/A
4/3/73 Banker's Trust Company, New York, NY
Trustee (discretionary income interest)*

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
09/20/2001	Corning, Inc.	S	B
10/30/2001	CVS Corp.	S	B
11/09/2001	Enron Corp.	S	B
12/10/2001	Tyco Int'l LTD	S	B

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : B. S. Procter Trust U/A
5/31/60 F/B/O Rodney P. Frelinghuysen
Peter Frelinghuysen & Rodney P. Frelinghuysen, Trustees

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
Various	Money Market Fund	P	C
05/15/01	North Brunswick Twp., NJ	Called	B
07/12/01	Harcourt General, Inc.	S	C
07/12/01	Harcourt General, Inc. Ser 'A'	S	C
07/12/01	AT&T Wireless (Cost Basis of AT&T adjusted for value of spin-off)	Spin-off	B
08/10/01	Zimmer Hldgs, Inc. (Cost basis of Bristol Myers Squibb adjusted for value of spin-off)	Spin-off	B
Various	Money Market Fund	P	C

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : V. T. Robinson Trust U/A dated 4/10/80, Fiduciary Trust Company, Boston, Ma. Trustee (spouse discretionary income interest)

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
Various	Scudder Tax Free Money Market	S	B
01/05/01	J.P. Morgan & Co. (Exchanged for J.P. Morgan Chase & Co.)	E	Even Exchange
01/05/01	J.P. Morgan Chase & Co.	E	Even Exchange
01/18/01	Time Warner, Inc. (Exchanged for AOL Time Warner)	E	Even Exchange
01/18/01	AOL Time Warner	E	Even Exchange
06/13/01	Worldcom, Inc. - MCI Group (Worldcom, Inc. cost basis adjusted for value of Spin-off)	Spin-off	B
08/17/01	Zimmer Holdings, Inc. (Bristol Myers Squibb Co. cost basis adjusted for value of Spin-off)	Spin-off	167.63

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : V. T. Robinson Trust U/A dated 4/10/80, Fiduciary Trust Company, Boston, Ma. Trustee (spouse discretionary income interest)

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
11/15/01	U.S. Treasury Notes	Redeemed	C
12/27/01	Enron Corp.	S	557.76

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : H. S. Robinson Trust U/A dated
12/16/82, Fiduciary Trust Company, Boston, Ma.
Trustee (Spouse discretionary income beneficiary)

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
Various	Scudder Tax Free Money Market	P	D
01/02/01	NJ (Tax Exempt) Muni Bond	S	C
01/05/01	J.P. Morgan & Co. (Exchanged J.P.Morgan Chase & Co.)	E	Even Exchange
01/05/01	J.P. Morgan Chase & Co.	E	Even Exchange
01/18/01	Time Warner, Inc. (Exchanged for AOL Time Warner, Inc.)	E	Even Exchange
01/18/01	AOL Time Warner, Inc.	E	Even Exchange
04/02/01	NJ (Tax Exempt) Muni Bond	Redeemed	C
06/08/01	AT&T Corp. (Converted to AT&T Wireless Group)	Conversion	C
06/08/01	AT&T Wireless Group	Conversion	C

ETHICS IN GOVERNMENT ACT - FINANCIAL DISCLOSURE STATEMENT

RODNEY P. FRELINGHUYSEN

CONTINUATION SHEET - SCHEDULE IV

Identity : H. S. Robinson Trust U/A dated 12/16/82, Fiduciary Trust Company, Boston, Ma. Trustee (Spouse discretionary income beneficiary)

DATE	ASSET	TYPE OF TRANSACTION	AMOUNT OF TRANSACTION
07/16/01	AT&T Wireless Group (Exchanged for AT&T Wireless Services, Inc.)	E	Even Exchange
07/16/01	AT&T Wireless Services, Inc.	E	Even Exchange
11/15/01	U.S. Treasury Notes	Redeemed	C

Name Rodney P. Frelinghuysen | **Page** 38 **of** 40

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor		Type of Liability	Amount of Liability									
				B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NONE												

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE			

Use additional sheets if more space is required.

Name Rodney P. Frelinghuysen | Page 39 of 40

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	N O N E						

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Name Rodney P. Frelinghuysen | Page 40 of 40

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Advisory Board	El Primer, LTD Morristown, NJ

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NONE	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 14
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

14

MC

Martin Frost
(Full Name)

2256 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-3605
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: TX District: 24	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/8/02

SCHEDULE I - EARNED INCOME

Name Martin Frost

Page 2 of 14

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
US Army	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Martin Frost

Page 3 of 14

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A seperate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
The Connell Company	Speech	Jan. 4, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

Page 4 of 14

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	American Electric Power	$50,001 - $100,000	DIVIDENDS	$2,501 - $5,000	
	Eli Lily Stock	$100,001 - $250,000	DIVIDENDS	$1,001 - $2,500	
	Exxon Mobil Stock	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
	EDS Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Walmart Stock (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Treasury CATS (IRA)	$15,001 - $50,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

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	Cisco Stock (IRA)	$1,001 - $15,000	None	NONE	
	Municipal Investment Trust Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Paine Webber Cash Fund	$1,001 - $15,000	INTEREST	$1 - $200	
	Walmart Stock	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Investment Company of America (IRA)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	General Electric Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Intel Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Sun Microsystems Stock	$1,001 - $15,000	NONE	NONE	
	AOL Time Warner Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Cisco Stock	$1,001 - $15,000	NONE	NONE	
	Southwest Airlines	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Thrift Savings	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Oracle Stock	$1,001 - $15,000	NONE	NONE	
	Wright Patman Federal Credit Union Checking Account	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

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JT	Wright Patman Federal Credit Union Checking Account	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	PFCU Checking Account	$50,001 - $100,000	INTEREST	$201 - $1,000	
SP	PFCU - IRA Accounts (2)	$1,001 - $15,000	INTEREST	$1 - $200	
SP	Peoples Federal Savings & Loan Savings	$100,001 - $250,000	INTEREST	$5,001 - $15,000	
SP	AT&T Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Bell South Stock	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
SP	Lucent Technology Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Daimler - Chrysler Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Progress Energy formerly Carolina Power & Light Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Fidelity Blue Chip Mutual Fund	$15,001 - $50,000	DIVIDENDS	$1 - $200	
SP	Fidelity Contra Fund Mutual (IRA)	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
SP	Fidelity Emerging Market Mutual Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	Openheimer Convertible Bond Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
SP	Scudder Global Mutual Fund	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

SP	USAA Income Stock Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
SP	US Savings Bonds	$15,001 - $50,000	INTEREST	$1 - $200	
SP	First Financial Holding	$1 - $1,000	INTEREST	$201 - $1,000	
SP	Leesburg Virginia Utility Bond	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	First Citizens Bank (IRA)	$1,001 - $15,000	INTEREST	$201 - $1,000	
SP	American Express IDS Growth Fund	$1,001 - $15,000	DIVIDENDS//CAPITAL GAINS	$1 - $200	
SP	Richmond VA Public Employment Bond	$0	DIVIDENDS	$201 - $1,000	S
SP	First Penn Life Insurance	$0	IRA proceeds inherited	$15,001 - $50,000	S
SP	Fidelity Investment Equity Income Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
SP	Franklin Utilities Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	General Electric Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	MFS Total Return Fund	$1,001 - $15,000	DIVIDENDS/INTEREST	$201 - $1,000	
SP	Chevron Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	3810 Vermont Court, Alexandria, VA 22303	$100,001 - $250,000	RENT	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

Page 8 of 14

SP	1/2 interest in 70 acres of cleared/cut pines, Latta, SC	$15,001 - $50,000	RENT	$1,001 - $2,500	
SP	1/2 interest in 100 acres of woodland, Latta, SC	$15,001 - $50,000	Timber sale	$15,001 - $50,000	
SP	Carolina Community Bank	$1,001 - $15,000	INTEREST	$1 - $200	
SP	MFS Emerging Growth Fund	$15,001 - $50,000	DIVIDENDS//CAPITAL GAINS	$1,001 - $2,500	
SP	MFS Mass Investor Growth Stock Fund	$1,001 - $15,000	NONE	NONE	S
SP	Putnam Voyager II Class B	$1,001 - $15,000	NONE	NONE	
SP	Putnam New Opportunity Fund Class B	$1,001 - $15,000	NONE	NONE	
SP	Putnam Small Cap Fund Class B	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Putnam Research Fund Class B	$1,001 - $15,000	NONE	NONE	
SP	Putnam Growth Opportunity Fund, Class B	$1,001 - $15,000	NONE	NONE	
SP	Putnam Investor Fund Class B	$1,001 - $15,000	NONE	NONE	
SP	Sonoco Stock	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Smith Barney Balanced Fund Class A	$1,001 - $15,000	DIVIDENDS//CAPITAL GAINS	$201 - $1,000	
SP	Southtrust Corp Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

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SP	AIM Constellation Class B	$1,001 - $15,000	NONE	NONE	
SP	AIM Large Cap Opportunities	$1,001 - $15,000	NONE	NONE	
SP	MFS Mid Cap Growth Class B	$1,001 - $15,000	NONE	NONE	
SP	MFS Capital Opportunities CL B	$1,001 - $15,000	NONE	NONE	
SP	Putnam New Century Growth Class B	$1,001 - $15,000	NONE	NONE	
SP	Putnam Health Science Class B	$1,001 - $15,000	DIVIDENDS//CAPITAL GAINS	$1 - $200	
SP	AIM Dent Demographic Trends	$1,001 - $15,000	NONE	NONE	
SP	AIM Large Capital Growth Class B	$1,001 - $15,000	NONE	NONE	
SP	Arlington, VA Bond	$1,001 - $15,000	INTEREST	$1 - $200	P
SP	Fairfax City Bond	$15,001 - $50,000	INTEREST	$1 - $200	P
SP	AT&T Wireless	$1,001 - $15,000	NONE	NONE	P
DC	Coca Cola Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
DC	Bristol Myers Squibb Stock	None	DIVIDENDS	$201 - $1,000	S
DC	Dell Computer Stock	$1,001 - $15,000	NONE	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Martin Frost

DC	General Electric Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name Martin Frost

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
SP	Richmond VA Public Employment Bond	S	1/16/01	$1,001 - $15,000
SP	First Penn Life Insurance	S	6/19/01	$15,001 - $50,000
SP	1/2 interest in 100 acres of woodland, Latta, SC -- Timber sale	S	8/7/01	$15,001 - $50,000
SP	AT&T Wireless	P	7/9/01	$1,001 - $15,000
SP	Arlington County Bond	P	11/5/01	$1,001 - $15,000
SP	Fairfax County Bond	P	8/10/01	$15,001 - $50,000
DC	Bristol Myers Squibb Stock	S	5/1/01	$1,001 - $15,000
DC	AOL Time Warner Stock	S	4/24/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Martin Frost

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Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Northwest Mortgage	Mortgage on Rental Property, VA	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Martin Frost

Page 13 of 14

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Connell Company	1/17/01	Wash. D.C.--LaGuardia, NY to Wash., DC	N	Y	N	N/A
American Israel Educaiton Foundation	8/25 to 9/1/01	Wash., DC to Tel Aviv, Israel to Wash., DC	Y	Y	N	N/A
						N/A
Development Corporation for Israel/Israel Bonds	11/29 to 12/1/0a	Wash., DC to El Paso, TX to Wash. DC	N	Y	N	N/A
American Bankers Assn.	7/27 - 7/29/01	Austin, TX to Colo. Springs, Co to Dulles, VA	Y	Y	Y	N/A
						N/A
IMPAC 2000	3/30 - 3/31/01	Wash., DC to Charleston, SC to Wash., DC	Y	Y	N	N/A
IMPAC 2000	8/10-8/13/01	Dallas, TX to Monterey, CA to Dallas, TX	Y	Y	N	N/A
IMPAC 2000	12/14 - 12/17/01	Wash., DC to Phoeniz, AZ to Wash., DC	Y	Y	N	N/A
IMPAC 2000	6/8--6/10/01	Wash., DC to Charleston, SC to Wash., DC	Y	Y	Y	N/A
IMPAC 2000	2/10 - 2/13/01	Dallas, TX to Los Angeles, CA to Wash., DC	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Martin Frost

Page 14 of 14

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	National Jewish Democratic Council
Board Member	World Craniofacial Foundation
Board Member	Texas Weslyan University

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Elton Gallegly (Full Name)

P. O. Box 940001 (Mailing Address)

Simi Valley, CA 93094-0001

805-522-4487 (Daytime Telephone)

Filer Status ☒ Member of the U.S. House of Representatives State: CA District: 23 ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual:	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		4-30-02

Elton Gallegly

Name Elton Gallegly

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Dynamic Realty	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Elton Gallegly

Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	X Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	1791 Erringer Road Simi Valley, CA							XX							X												X					
JT	1353 Agnew Street Simi Valley, CA						XX								X											X						
JT	1771 Sinaloa Road, 189 Simi Valley, CA					XX									X											X						
SP	Dynamic Realty, Simi			XX																	N/A											
JT	First Western Bank					XX										XX							X									
JT	Washington Mutual					XX										XX									X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Elton Gallegly

Page 4 of 6

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income							Amount of Income											Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	IRA-DLJSC - Amgen					X															N/A											P
SP	IRA-DLJSC - Coca-Cola			X																	N/A											
	Keough-Wells Fargo			X												X							X									
	IRA-MERRILL LYNCH (custodian change from Resources Trust)																															
	RTC Cash Account				X																N/A											E
	John Hancock					X															N/A											S
	ML Small Cap Value			X																	N/A											P
	Van Kampen				X									XX									X									P
	Invesco Bluechip			X										XX								X										P
	Fundamental Growth A			X																	N/A											P
	Dreyfus Premier			X																	N/A											P
	Nations International			X										XX									X									P
	Ventura Pacific			X										XX								X										
	Coca-Cola			X																	N/A											
JT	Midland Property Ltd.				X																											
	Ptr XXIII who owns affordable housing at Central Ave. & Ventura Co., Center, Colorado and																															
	who owns senior housing at 1615 "O" Street, Sacramento, CA 95814																															

This page may be copied if more space is required.

Name Elton Gallegly

Page 5 of 6

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-98		X								
SP	IRA - Fortis Global Growth		X		6-06-01	X									
SP	IRA - DLJSC - Amgen stock	X			6-14-01	X									
	IRA - John Hancock Mutual Funds		X		8-15-01			X							
	IRA - RTC Cash Account			X	8-15-01		X								
	IRA - ML Small Cap Value Fund	X			8-30-01	X									
	IRA - Van Kampen	X			8-30-01		X								
	IRA - Invesco Bluechip	X			8-30-01	X									
	IRA - ML Fundamental Growth A	X			8-30-01	X									
	IRA - Dreyfus Premier	X			8-30-01	X									
	IRA - Nations International	X			8-30-01	X									

This page may be copied if more space is required.

Name Elton Gallegly	Page 6 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
JT	Caruana Family Trust 10920 Melvin Ave., Northridge, CA	Mortgage 1791 Erringer Simi Valley, CA				X						
JT	GMAC Mortgage P. O. Box 780, Waterloo, IA 50704	Mortgage 1353 Agnew St. Simi Valley, CA			X							
JT	Atlantic Mortgage 135 S. LaSalle, Chicago, IL	Mortgage 1772 Sinaloa Rd Simi Valley, CA			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 26, clause 5) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

⑥

MAY 01 2002

LEGISLATIVE RESOURCE CENTER
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MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Elton Gallegly
(Full Name)

P. O. Box 940001
(Mailing Address)

Simi Valley, CA 93094-0001
Daytime Telephone: 805-522-4487

Filer Status	☒ Member of the U.S. House of Representatives State: CA District: 23	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☒ **No** ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐ **No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐ **No** ☒	VII. Did you, your spouse or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☐ **No** ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒ **No** ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☐ **No** ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☒ **No** ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐ **No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☒ **No** ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐ **No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐ **No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		4-30-02

Name Elton Gallegly

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Dynamic Realty	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Elton Gallegly

Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples: DC	Simon & Schuster		Indefinite																	Royalties									X			
Examples: JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	1791 Erringer Road Simi Valley, CA							XX							X												X					
JT	1353 Agnew Street Simi Valley, CA						XX								X											X						
JT	1771 Sinaloa Road, 189 Simi Valley, CA					XX									X											X						
SP	Dynamic Realty, Simi			XX																	N/A											
JT	First Western Bank					XX										XX							X									
JT	Washington Mutual					XX										XX									X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Elton Gallegly

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	IRA-DLJSC - Amgen					X															N/A											P
SP	IRA-DLJSC - Coca-Cola			X																	N/A											
	Keough-Wells Fargo			X												X							X									
	IRA-MERRILL LYNCH (custodian change from Resources Trust)																															
	RTC Cash Account				X																N/A											E
	John Hancock					X															N/A											S
	ML Small Cap Value			X																	N/A											P
	Van Kampen				X									XX									X									P
	Invesco Bluechip			X										XX								X										P
	Fundamental Growth A			X																	N/A											P
	Dreyfus Premier			X																	N/A											P
	Nations International			X										XX									X									P
	Ventura Pacific			X										XX								X										
	Coca-Cola			X																	N/A											
JT	Midland Property Ltd.				X																											
	Ptr XXIII who owns affordable housing at Central Ave. & Ventura Ct., Center, Colorado and who owns senior housing at 1615 "O" Street, Sacramento, CA 95814																															

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Elton Gallegly

Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-99		X								
SP	IRA - Fortis Global Growth		X		6-06-01	X									
SP	IRA - DLJSC - Amgen stock	X			6-14-01	X									
	IRA - John Hancock Mutual Funds		X		8-15-01			X							
	IRA - RTC Cash Account			X	8-15-01		X								
	IRA - ML Small Cap Value Fund	X			8-30-01	X									
	IRA - Van Kampen	X			8-30-01		X								
	IRA - Invesco Bluechip	X			8-30-01	X									
	IRA - ML Fundamental Growth A	X			8-30-01	X									
	IRA - Dreyfus Premier	X			8-30-01	X									
	IRA - Nations International	X			8-30-01	X									

This page may be copied if more space is required.

Name Elton Gallegly

Page 6 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Caruana Family Trust 10920 Melvin Ave., Northridge, CA	Mortgage 1791 Erringer Simi Valley, CA				X						
JT	GMAC Mortgage P. O. Box 780, Waterloo, IA 50704	Mortgage 1353 Agnew St. Simi Valley, CA			X							
JT	Atlantic Mortgage 135 S. LaSalle, Chicago, IL	Mortgage 1772 Sinaloa Rd Simi Valley, CA			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $100 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 26, clause 5) prohibits gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(9)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 10:09
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

John Gregory GANSKE MD
(Full Name)

5206 Waterbury Rd, Des Moines, IA 50312
(Mailing Address)

Daytime Telephone: 515 277-4886

Filer Status	☑ Member of the U.S. House of Representatives State: Iowa District: 4th	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Greg Ganske	4/8/02

Name Greg GANSKE

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source		Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
Corrine GANSKE, MD. medical practice Iowa Health Systems		Salary, spouse	N.A.

For payments to charity in lieu of honoraria, use Schedule II.

Name Greg GANSKE

Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	none			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		BLOCK A	A None.	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples:	Mega Corp. Stock					X								X										X								P
DC,		Simon & Schuster		Indefinite																	Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
		St Joe Company						X							X											X							
		Central Fund CDA LTD						X							X									X									
		IRA Vanguard Windsor				X									X			X								X							
		IRA Vanguard Index 500						X							X			X							X								
		Keogh – Janus Twenty						X							X			X								X							
		Keogh – Mutual Shares						X							X			X									X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Greg GANSKE

Page 5 of 9

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income							Amount of Income											Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Fidelity Growth						X							X			X								X							
	Dreyfus Gen Govt.						X									X										X						
	Keogh - Vanguard Windsor						X							X		X										X						
	Keogh - Schwab S+P 500						X							X		X										X						
	Keogh - Schwab Govt Money						X									X										X						
	Farmland - 150 acres							X																			X					
	Checking acct - Wells Fargo			X												X								X								
	Foreway Stove Stock				X									X											X							P
SP	Keogh - Schwab						X							X			X									X						
SP	IRA - Fidelity						X							X			X									X						
SP	TSA - Equivest					X								X			X									X						
SP	IRA - Vanguard Windsor						X							X			X									X						
SP	Savings - Wells Fargo			X												X							X									
SP	checking " " "			X																	X											
DC	Trust Bankers								X					X		X												X				
	Wells Fargo Brokerage:																															
SP	Fidelity Adv Growth			X										X			X						X									
SP	Vanguard S+P 500 Index				X									X			X							X								
SP	Wells Fargo Adv Cash					X										X									X							

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Name Greg GANSKE

Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	none														

This page may be copied if more space is required.

Name Greg GANSKE | Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor		Type of Liability	Amount of Liability									
				B $10,001– $15,000	C $15,001– $50,000	D $50,001– $100,000	E $100,001– $250,000	F $250,001– $500,000	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
	Example.	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	none												

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
none			

Use additional sheets if more space is required.

Name Greg GANSKE

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	none						

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Name Greg GANSKE Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
none	

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	none	

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

GEORGE W. GEKAS
(Full Name)

732 South 25th Street
Harrisburg, PA 17111
(Mailing Address)

(202) 225-4315
Daytime Telephone:

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⑦
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Filer Status	☒ Member of the U.S. House of Representatives — State: PA District: 17th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/13/02

Name GEORGE W. GEKAS

Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned Income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	GORDON D. MYERS, M.D.	SPOUSE SALARY	NA
	COMMONWEALTH OF PENNSYLVANIA STATE Employees' Retirement System	LEGISLATIVE PENSION	$16,641

For payments to charity in lieu of honoraria, use Schedule II.

Name George W. Gekas | **Page** 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:*	Mega Corp. Stock					X								X										X								P
DC		Simon & Schuster	Indefinite																		Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
		ALLFIRST BANK, BALTIMORE, MD (IRA)				/											X									X							S
SP		PRUDENTIAL SECURITIES (IRA) NEW YORK NY (SEE EXHIBIT A)						X							X		X								X								P
SP		U.S. SAVINGS BONDS "EE"			X												X					X											
		CONGRESSIONAL FEDERAL CREDIT UNION, WASHINGTON, DC		X													X						X										
		ALLFIRST BANK BALTIMORE, MD					X										X								X								
		MID PENN BANK MILLERSBURG, PA					X										X									X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name GEORGE W. GEKAS

Page 4 **of** 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	WAYPOINT BANK HARRISBURG, PA						X									X									X							
	US Savings Bonds "EE"						X									X										X						
	INVESCO FUNDS GROUP, INC. DENVER, CO		X														X					X										
SP	124 BOAS STREET HARRISBURG, PA					X									X											X						
SP	313 S. 31ST STREET HARRISBURG, PA					X														NONE	X											
SP	COMMERCE BANK CAMP HILL, PA		X													X						X										
JT	PNC BANK CAMP HILL, PA			X																NONE	X											

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name George W. Gekas

Page 5 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	All First Bank (IRA)		X		12.18.01	X									
SP	Prudential Securities (IRA)		X		7.27.01	X									
	AYA Dividend Reinvestment Plan (1)		X		01.02.01	X									
	AYA Dividend Reinvestment Plans (1)	X			01.02.01	X									
	(1) Proceeds from shareholder class action litigation														
SP	Prudential Securities (IRA) Dividend Reinvested														
	– Phoenix Oakhurst Balanced Fund	X			12.31.01	X									

This page may be copied if more space is required.

Name	GEORGE W. GEKAS	Page 6 of 7

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	JARTAN NATIONAL BANK, HARRISBURG, PA	BLANKET MORTGAGE ON – 732 S. 25TH ST, HBG., PA 313 S. 31ST ST, HBG, PA 124 BOAS ST., HBG, PA			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

Page 7 of 7

George W. Gekas
Financial Disclosure Statement: 2001

Exhibit A

Schedule III – Assets
Prudential Securities – Spouse – IRA

Assets related to the IRA account on December 31, 2001

	Value
AIM Equity Funds, Inc. – Charter Fund	$100,001 - $250,000
AIM Equity Funds, Inc. – Constellation Fund	$15,001 – $50,000
Phoenix Oakhurst Balanced Fund	$15,001 - $50,000
Prudential Jennison Growth Fund, Inc. – Class A	$15,001 - $50,000
Prudential Moneymart Asset Fund (Cash)	$1,001 - $15,000

(10)

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Richard A. Gephardt (Full Name)

H-204 The Capitol
Washington, DC 20515 (Mailing Address)

Daytime Telephone: (202) 225-0100

Filer Status ☒ Member of the U.S. House of Representatives — State: MO District: 03 ☐ Officer or Employee — Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Richard A. Gephardt	05-15-02

Name Richard A. Gephardt

Page 2 of 10

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Northern Virginia Medical Association	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Richard A. Gephardt

Page 3 **of** 10

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling, any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	*Examples:* SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	Vanguard Growth and Income Fund			X										X								X										
JT	Reynolds Blue Chip Growth Fund			X																	X											
JT	Vanguard 500 Index Fund			X										X								X										
JT	Janus Fund			X																	X											
JT	Janus Mercury Fund			X										X								X										
JT	Janus Enterprise Fund			X																	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Richard A. Gephardt

Page 4 of 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	Janus Olympus Fund			X										X																		
JT	Janus Growth and Income Fd.				X									X									X									
JT	Janus Balanced Fund			X										X									X									
JT	Janus Core Equity			X										X								X										
JT	Vanguard Health Care Fund				X									X			X						X									
JT	Vanguard Tax-Managed																															
	Cap. Apprec.			X										X								X										
JT	Vanguard Total Stock																															
	Market Index			X										X								X										
JT	Vanguard U.S. Growth			X										X								X										
JT	Harbor Capital Appreciation				X									X								X										
JT	PBHG Select Equity			X																	X											S
JT	PBHG Mid-Cap Value	X															X							X								S
JT	PBHG Large Cap Growth	X																			X											S
JT	Dresdner RCM Global Health																															S
	Care	X															X						X									S
JT	Strong Opportunity	X															X						X									S
JT	OCC Cash Reserves			X																	X											
JT	Alliance Growth & Income																															
	Fund				X																X											P
JT	Davis NY Venture Fund				X																X											P
JT	Nations Int'l Value Fund				X									X								X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Richard A. Gephardt

Page 5 **of** 10

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
JT	Pimco Renaissance Fund				X																X											P
JT	Pimco Total Return Fund				X									X								X										P

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Name Richard A. Gephardt

Page 6 of 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Alliance Growth & Income Fund	X			12-21-01		X								
JT	Davis NY Venture Fund	X			12-21-01		X								
JT	Nations Int'l Value Fund	X			12-21-01		X								
JT	Pimco Renaissance Fund	X			12-21-01		X								
JT	Pimco Total Return Fund	X			12-21-01		X								
JT	Berger Large Cap Growth Fund		X		12-21-01		X								
JT	Dresdner RCM Global Health Care		X		12-21-01		X								
JT	Dresdner RCM Biotechnology		X		12-21-01		X								
JT	Dresdner RCM Global Technology		X		12-21-01	X									
JT	Dresdner RCM Large Cap Growth		X		12-21-01	X									
JT	Dresdner RCM Global Small Funds		X		12-21-01	X									
JT	Reserve Small Cap Growth Fund		X		12-21-01	X									
JT	Firsthand Technology Value Fund		X		12-21-01	X									
JT	Firsthand Technology Leaders Fund		X		12-21-01	X									
JT	PBHG Large Cap Growth		X		12-21-01		X								
JT	PBHG Select Equity Fund		X		12-21-01	X									

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Name Richard A. Gephardt **Page** 7 **of** 10

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	PBHG Mid Cap Value Fund		X		12-21-01		X								
JT	PBHG Large Cap 20 Fund		X		12-21-01	X									
JT	T.Rowe Price Mid-Cap Growth Fund		X		12-21-01	X									
JT	Strong Opportunity Fund		X		12-21-01		X								
JT	Bridgeway Fund Aggressive Investors		X		12-26-01		X								

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Name Richard A. Gephardt | Page 8 of 10

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	First Tennessee Bank	Student Loan			X							
JT	General American Life Ins. Co.	Loan on Life Ins. Policy		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Richard A. Gephardt | Page 9 of 10

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Aspen Institute		Mar. 9-11	White Sulphur Springs, WV	Y	Y	Y	N
IATSE		July 15-16	Chicago (lodging only)	Y	N	N	N

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Name Richard A. Gephardt **Page** 10 **of** 10

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Institute Board	Public Policy School, Duke University (uncompensated)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

⑥

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6
For use by Members, officers, and employees

James Arthur Gibbons
(Full Name)

2535 Kinney Lane Reno, NV 89511
(Mailing Address)

(775) 851-4266
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives — State: NV District: 02	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION – ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? If yes, complete and attach Schedule I.	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? If yes, complete and attach Schedule II.	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? If yes, complete and attach Schedule III.	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? If yes, complete and attach Schedule IV.	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? If yes, complete and attach Schedule V.	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? If yes, complete and attach Schedule VI.	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? If yes, complete and attach Schedule VII.	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? If yes, complete and attach Schedule VIII.	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? If yes, complete and attach Schedule IX.	Yes ☑ No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics In Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	James A. Gibbons	May 14, 2002

SCHEDULE I - EARNED INCOME

Name James Arthur Gibbons

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Dewnig Syndicate, Inc.	Spouse Salary	N/A
Nevada State Legislature	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Arthur Gibbons

Page 3 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	US Bancorp	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Dean Witter IRA	$50,001 - $100,000		NONE	
SP	Dean Witter IRA	$50,001 - $100,000		NONE	
	Delta Family Care Savings	$50,001 - $100,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Arthur Gibbons

Page 4 of 6

	Three Vacant Lots, Washoe County, Nevada: 1) Wedekind Road 1.17 +/- acre 2) Northern Washoe County Parcel 1=520 +/- acre Parcel 2=40 +/- acre (all unimproved and vacant)	$250,001 - $500,000		NONE	
JT	Dean Witter (variable annuity)	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	NONE	
	US Bank of NV	$1,001 - $15,000	INTEREST	$1 - $200	
DC	US Bank of NV	$1,001 - $15,000	INTEREST	$1 - $200	
DC	Dean Witter Investments: Coca Cola Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
DC	Dean Witter Investments: Intel Corp Stock	$15,001 - $50,000	DIVIDENDS	$1 - $200	
DC	Dean Witter Investments: US Treasury Zero Coupon Bonds	$50,001 - $100,000	INTEREST	$2,501 - $5,000	
DC	Dean Witter Holdings: European Growth Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$1,001 - $2,500	
DC	Dean Witter Holdings: Global Dividend Growth Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
DC	Dean Witter Holdings: American Value Fund	$1,001 - $15,000	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	
DC	Dean Witter Holding: Dividend Growth Fund	$15,001 - $50,000	DIVIDENDS/CAPITAL GAINS	$2,501 - $5,000	
DC	State Farm-Universal Life Policy (Policies in irrevocable trust to benefit dependent child)	$15,001 - $50,000		NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name James Arthur Gibbons

Page 5 of 6

	Delta Pension	$50,001 - $100,000		NONE	
	Dean Witter Money Market	$1,001 - $15,000	INTEREST	$1 - $200	
	United States Airforce Association	$1,001 - $15,000		NONE	
JT	Dewnig Syndicate, Inc. Corporate Stock	$100,001 - $250,000	DIVIDENDS/CAPITAL GAINS	NONE	

SCHEDULE IX - AGREEMENTS

Name James Arthur Gibbons

Page 6 of 8

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
01/01/01	Delta Pension Benefits	Monthly Withdrawal of $504.00
01/01/01	Traveler's Pension (Delta)	Monthly Withdrawal of $161.93

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

LEGISLATIVE RESOURCE CENTE
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U.S. HOUSE OF REPRESENTATIVES
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Wayne T. Gilchrest
(Full Name)

13501 Turners Creek,Road, Kennedyville, Md., 21645 (Mailing Address)
410-348-2018 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives	State: Maryland District: First	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☐	**No** ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☐	**No** ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐	**No** ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☐	**No** ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒	**No** ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☐	**No** ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☐	**No** ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☐	**No** ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐	**No** ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐	**No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐	**No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Wayne T. Gilchrest	May 8, 2002

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Wayne T. Gilchrest

Page 2 **of** 3

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	P, S, E
SP, DC, JT *Examples:* SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	Peoples Bank of Kent Co.			X												X						X										
SP	Peoples Bank of Kent Co.			X												X							X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Wayne T. Gilchrest

Page 3 **of** 3

	BLOCK A	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Inherited listed securities:																																
JT	Alliance Services			X										X																		
JT	A T & T			X										X																		
JT	Avaya		X											X																		
JT	Connectiv			X										X							All listed securities are held in street name with Morgan Stanley Dean Witter & Co. All dividends are paid directly to them. They, in turn, file annually federal form 1099 - D for the Gilchrests in the $ 2,501-$5,000 range.											
JT	Consumers Financial			X										X																		
JT	Delphi Automotive			X										X																		
JT	Dominion Resources			X										X																		
JT	General Motors			X										X																		
JT	Intel			X										X																		
JT	Lucent			X										X																		
JT	NCR Corp		X											X																		
JT	Nuveen Mun Value Fund			X										X																		
JT	Potomac Electric			X										X																		
JT	SBC Communications			X										X																		
JT	Wash Gas Light			X										X																		
JT	Viacom			X										X																		
JT	Verizon Communications			X										X																		

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 10
For use by Members, officers, and employees

Paul E. Gillmor
(Full Name)

7750 North County Road 51 Old Fort, OH 44861
(Mailing Address)

202-225-6405
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: OH District: 5	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and wilfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Paul E. Gillmor	May 23, 2002

SCHEDULE I - EARNED INCOME

Name Paul E. Gillmor

Page 2 of 10

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Ohio	Spouse salary	N/A
Public Employees Retirement System of Ohio	Pension	$44,259

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Paul E. Gillmor

Page 3 of 10

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Adtran stock	$1,001 - $15,000	DIVIDENDS	NONE	P
SP	AIG - stock	$15,001 - $50,000	Dividends	$201 - $1,000	
	Applied Material - stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Astro Power - stock	$1,001 - $15,000	DIVIDENDS	NONE	P
	Bayshore Leasing - note	$1,001 - $15,000	INTEREST	NONE	P
	Bayshore Leasing - stock	$15,001 - $50,000	Dividends	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Paul E. Gillmor

Page 4 of 10

	Charles Schwab & Co margin account	$15,001 - $50,000	Interest	$1,001 - $2,500	
	Congressional Credit Union account	$1,001 - $15,000	Interest	NONE	
	Cooker Restaurants - stock	$1,001 - $15,000	Dividends	NONE	
	David Phillips note	$15,001 - $50,000	Interest	$1,001 - $2,500	
	Dealers Alliance - stock	$100,001 - $250,000	Dividends	$1,001 - $2,500	
	DeNovo Corporation - stock	$1,001 - $15,000	Dividends	NONE	
	EZ Color - note	$15,001 - $50,000	Interest	$1,001 - $2,500	
	EZ Color - stock	$15,001 - $50,000	Dividends	NONE	
	Fidelity Spartan Money Market - mutual fund	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P/S
	First Federal account	$1,001 - $15,000	Interest	$1 - $200	
	First Service - stock	$15,001 - $50,000	DIVIDENDS	NONE	P
	First Solar - stock	$15,001 - $50,000	Dividends	NONE	
SP	FirstStar Bank savings	$1,001 - $15,000	Interest	$1 - $200	
	Gillmor Family Partnership	$15,001 - $50,000	Interest	$201 - $1,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Paul E. Gillmor

	Gillmor Financial Services - stock	$5,000,001 - $25,000,000	Dividends	$100,001 - $1,000,000	
	Industrial Bancorp - stock	None	CAPITAL GAINS	$5,001 - $15,000	S
	Inter-Tel - stock	$15,001 - $50,000	DIVIDENDS	NONE	P
	Matlack, Inc - stock	None	CAPITAL GAINS	$1,001 - $2,500	S
	Max & Erma's Restaurants - stock	$15,001 - $50,000	DIVIDENDS	NONE	
	Nasdaq 100 mutual fund	$1,001 - $15,000	DIVIDENDS	NONE	
	National Research Corporation - stock	$1,001 - $15,000	Dividends	NONE	
SP	Northwest Natural Gas - stock	$1,001 - $15,000	Dividends	$201 - $1,000	
	Oakmark Select - mutual fund	$50,001 - $100,000	DIVIDENDS	$1 - $200	P
SP	Ohio Public Employees Comp Program	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
SP	Old Fort Bank account	$1 - $1,000	INTEREST	$1 - $200	
	Old Fort Bank account	$15,001 - $50,000	Interest	$201 - $1,000	
	Old Fort Bank IRA account	$15,001 - $50,000	Interest	$1,001 - $2,500	
SP	Old Fort Bank IRA account	$15,001 - $50,000	Interest	$1,001 - $2,500	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Paul E. Gillmor

Page 6 of 10

	Paul M. Gillmor Company - stock	$250,001 - $500,000	Dividends	$5,001 - $15,000	
	Popular, Inc. - stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Price International Fund	None	CAPITAL GAINS	NONE	S
	Price New Asia - mutual fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Price New Horizons Fund (mutual fund)	None	CAPITAL GAINS	$5,001 - $15,000	S
	Rollins Truck leasing stock	None	CAPITAL GAINS	$100,001 - $1,000,000	S
	Safety Kleen - stock	$1 - $1,000	Dividends	NONE	
SP	Southwest Natural Gas - stock	$1,001 - $15,000	Dividends	$1 - $200	
SP	T. Rowe Price funds	$15,001 - $50,000	Interest	$201 - $1,000	
	Universal Electronics - stock	$15,001 - $50,000	DIVIDENDS	NONE	P
	Vanguard Money Market - mutual fund	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	P/S
	Vanguard Total Stock Market Fund - mutual fund	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	P

SCHEDULE IV - TRANSACTIONS

Name Paul E. Gillmor

Page 7 of 10

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Inter-Tel - stock	P	3-19-2001	$15,001 - $50,000
	Applied Material - stock	P	4-24-2001	$1,001 - $15,000
	First Service - stock	P	7-20-2001	$15,001 - $50,000
	Vanguard Total Stock Market Fund - mutual fund	P	3-4-2001	$15,001 - $50,000
	Oakmark Select - mutual fund	P	4-6-2001	$50,001 - $100,000
	Astro Power - stock	P	10-3-2001	$1,001 - $15,000
	Price New Asia - mutual fund	P	2-16-2001	$1,001 - $15,000
	Fidelity Spartan Money Market - mutual fund	P	3-26-2001	$50,001 - $100,000
	Vanguard Money Market - mutual fund	S	4-28-2001	$50,001 - $100,000
	Popular, Inc. - stock	P	2/7/2001	$1,001 - $15,000
	Bayshore Leasing - note	P	7-1-2001	$1,001 - $15,000
	Price International Fund	S	6-15-2001	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name Paul E. Gillmor

Page 8 of 10

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Fidelity Spartan Money Market Fund	S	9/5/2001	$50,001 - $100,000
	Vanguard Money Market Mutual Fund	P	3-9-2001	$50,001 - $100,000
	Adtran	P	3-7-2001	$1,001 - $15,000
	Universal Electronics - stock	P	5-21-2001	$15,001 - $50,000
	Price New Horizons Fund (mutual fund)	S	10-24-2001	$15,001 - $50,000
	Industrial Bancorp	S	7-10-2001	$15,001 - $50,000
	Matlack, Inc.	S	6-27-2001	$1,001 - $15,000
	Rollins Truck Leasing	S	2-27-2001	$250,001 - $500,000

SCHEDULE VIII - POSITIONS

Name Paul E. Gillmor

Page 9 of 10

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Gillmor Financial Services
Director	Old Fort Banking Company
Director	EZ Color, Inc.
Director	Bayshore Leasing
Director	DeNovo Corporation
Trustee	Paul M. & Lucy J. Gillmor Foundation
Director	Paul M. Gillmor Company

FOOTNOTES

Name Paul E. Gillmor

Page 10 of 10

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	formerly known as American General	AIG - stock
2	Schedule III	formerly known as Star Bank	FirstStar Bank savings
3	Schedule III	formerly known as Thermocolor	EZ Color - note
4	Schedule III	sold 5-27-2002	Price New Asia - mutual fund

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

Page

Benjamin A. Gilman
(Full Name)

2449 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202 225 3776
Daytime Telephone:

(Office Use Only)

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District: 20	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and 18 U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5 | 14 | 2002

SCHEDULE I - EARNED INCOME

Name Benjamin A. Gilman

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
New York State Pension	Retirement	$17,091.48
Coney Island Food Service Management	Spousal Self Employment	$2,790.02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin A. Gilman

Page 3 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	First Federal Savings Bank, Middletown, New York	$15,001 - $50,000	INTEREST	$1,001 - $2,500	NA
	Congressional Federal Credit Union	$50,001 - $100,000	INTEREST	$2,501 - $5,000	NA
	16 Orchard Street, Middletown, NY - Commercial/Half Residential	$15,001 - $50,000	RENT	$2,501 - $5,000	NA
	Northwestern Mutual Life, Milwaukee, WI	$1,001 - $15,000	ANNUITY	$2,501 - $5,000	NA
SP	Central Hudson Gas & Electric	$1,001 - $15,000	None	$201 - $1,000	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin A. Gilman

Page 4 of 8

SP	Sale of Business to John Daskalis/DBA Middletown Coney Island Food Service Management, Middletown, NY	$250,001 - $500,000	Installment - Payment of Sale	$15,001 - $50,000	NA
SP	Condo-Island Club, 10410 So. Ocean, Jensen Beach, FL	$100,001 - $250,000	Rent	$5,001 - $15,000	NA
	Warwick Savings Bank - 19 Oakland Avenue, Warwick, NY	$1,001 - $15,000	Dividend	$201 - $1,000	NA
	Metlife - shares of stock	$1,001 - $15,000	Dividend	$1 - $200	NA
	Evergreen Money Market	$1,001 - $15,000	INTEREST	$1 - $200	P
	Pilgrim Fund Large Cap	$15,001 - $50,000	None	NONE	N/A

SCHEDULE IV - TRANSACTIONS

Name Benjamin A. Gilman

Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Evergreen Money Market	P	8/22/01	$1,001 - $15,000
	Nuveen Fund	S	8/22/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Benjamin A. Gilman

Page 6 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Orange County Trust, Middletown, NY	Mortgage on 14 Railroad Avenue, Middletown, NY - Part of the sale of Business (See Schedule III)	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Benjamin A. Gilman

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
U. S. Chamber of Commerce and National Republican Party of Puerto Rico	May 10-13	Wash., D.C. - Puerto Rico- Wash., D. C.	Y	N	Y	None
Chinese National Association of Industry and Commerce	August 13-16	Wash., D.C. - Taiwan, ROC - Wash., D.C.	Y	Y	Y	None

SCHEDULE VIII - POSITIONS

Name Benjamin A. Gilman

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	World Hunger Year
Member, Board of Directors	American Friends of the Shakespeare Birthplace Trust

BENJAMIN A. GILMAN
20TH DISTRICT, NEW YORK

INTERNATIONAL RELATIONS
COMMITTEE
CHAIRMAN EMERITUS

SUBCOMMITTEES:
MIDDLE EAST
AND SOUTH ASIA
CHAIRMAN

EUROPE

REPUBLICAN POLICY
COMMITTEE

Congreſs of the United States
House of Representatives
Washington, DC 20515–3220

COMMITTEE ON
GOVERNMENT REFORM

SUBCOMMITTEES:
CRIMINAL JUSTICE, DRUG POLICY
AND HUMAN RESOURCES
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VETERANS' AFFAIRS
AND INTERNATIONAL
RELATIONS

May 22, 2002

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Washington, DC 20515

To Whom It May Concern:

Pursuant to the directive for the Financial Disclosure Statement for 2001 pertaining to Schedule III - Assets and "Unearned" income, enclosed please find an amendment for the Statement already filed, indicating an addition to this Schedule, which is MCI World Com, which was inadvertently omitted from the original filing.

Thank you for your kind attention in this matter.

Sincerely,

Ben A. Gilman

BENJAMIN A. GILMAN
Member of Congress

BAG:ep
Enclosures

PLEASE REPLY TO:

WASHINGTON OFFICE:
2449 RAYBURN BUILDING
WASHINGTON, DC 20515–3220
☐ TELEPHONE: (202) 225–3776
FAX: (202) 225–2541

DISTRICT OFFICE:
410 EAST MAIN STREET
SUITE 2
P.O. BOX 358
MIDDLETOWN, NY 10940–0358
☐ TELEPHONE: (845) 343–6666
FAX: (845) 342–2900

DISTRICT OFFICE:
377 ROUTE 59
MONSEY, NY 10952–3498
TELEPHONE: (845) 357–9000
FAX: (845) 357–0984

DISTRICT OFFICE:
HASTINGS-ON-HUDSON
☐ TELEPHONE: (914) 478–5550

Web Page: http://www.house.gov/gilman

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page [illegible]
For use by Members, officers, and employees

Benjamin A. Gilman
(Full Name)

2449 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202 225 3776
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District: 20	☐ Officer Or Employee — Employing Office:
Report Type	☐ Annual (May 15)	☑ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐ No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	B. C. Gilman	5/22/2002

SCHEDULE I - EARNED INCOME

Name Benjamin A. Gilman

Page 2 of 8

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
New York State Pension	Retirement	$17,091.48
Coney Island Food Service Management	Spousal Self Employment	$2,790.02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin A. Gilman

Page 3 of 8

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
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	Congressional Federal Credit Union	$50,001 - $100,000	INTEREST	$2,501 - $5,000	NA
	16 Orchard Street, Middletown, NY - Commercial/Half Residential	$15,001 - $50,000	RENT	$2,501 - $5,000	NA
	Northwestern Mutual Life, Milwaukee, WI	$1,001 - $15,000	ANNUITY	$2,501 - $5,000	NA
SP	Central Hudson Gas & Electric	$1,001 - $15,000	None	$201 - $1,000	NA

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Benjamin A. Gilman

Page 4 of 8

SP	Sale of Business to John Daskalis/DBA Middletown Coney Island Food Service Management, Middletown, NY	$250,001 - $500,000	Installment - Payment of Sale	$15,001 - $50,000	NA
SP	Condo-Island Club, 10410 So. Ocean, Jensen Beach, FL	$100,001 - $250,000	Rent	$5,001 - $15,000	NA
	Warwick Savings Bank - 19 Oakland Avenue, Warwick, NY	$1,001 - $15,000	Dividend	$201 - $1,000	NA
	Metlife - shares of stock	$1,001 - $15,000	Dividend	$1 - $200	NA
	Evergreen Money Market	$1,001 - $15,000	INTEREST	$1 - $200	P
	Pilgrim Fund Large Cap	$15,001 - $50,000	None	NONE	N/A
SP	MCI World Com	$1,001 - $15,000	None	NONE	N/A

SCHEDULE IV - TRANSACTIONS

Name Benjamin A. Gilman

Page 5 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Evergreen Money Market	P	8/22/01	$1,001 - $15,000
	Nuveen Fund	S	8/22/01	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name Benjamin A. Gilman

Page 6 of 8

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
SP	Orange County Trust, Middletown, NY	Mortgage on 14 Railroad Avenue, Middletown, NY - Part of the sale of Business (See Schedule III)	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Benjamin A. Gilman

Page 7 of 8

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
U. S. Chamber of Commerce and National Republican Party of Puerto Rico	May 10-13	Wash., D.C. - Puerto Rico-Wash., D. C.	Y	N	Y	None
Chinese National Association of Industry and Commerce	August 13-16	Wash., D.C. - Taiwan, ROC - Wash., D.C.	Y	Y	Y	None

SCHEDULE VIII - POSITIONS

Name Benjamin A. Gilman

Page 8 of 8

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Member, Board of Directors	World Hunger Year
Member, Board of Directors	American Friends of the Shakespeare Birthplace Trust

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

CHARLES A. GONZALEZ (Full Name)

151 E. LULLWOOD AVE. (Mailing Address)

SAN ANTONIO, TX 78212

Daytime Telephone: (202) 225-3236

Filer Status	☒ Member of the U.S. House of Representatives — State: TX District: 20	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

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II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

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Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Charles A. Gonzalez	May 14, 2002

Name CHARLES A. GONZALEZ

Page 2 of ___

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	ANIMAL DEFENSE LEAGUE, INC.	SPOUSE SALARY	NA
	CHRISTIAN SENIOR SERVICES	SPOUSE=WRITER	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name CHARLES A. GONZALEZ

Page 3 of __

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	SP	Mega Corp. Stock					X								X										X								P
DC,	*Examples:*	Simon & Schuster		Indefinite																	Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
SP		MERRILL LYNCH CMA MONEY FD			X												X						X										
SP		MERRILL LYNCH CMA MONEY FD			X										X									X									
SP		US TREASURY NOTES					X										X	X							X								P, S
SP		AIR PRODUCTS & CHEM			X													X					X										P
SP		ALCOA INC.			X										X			X					X										P
SP		ALTERA CORP			X																	X											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHARLES A. GONZALEZ

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SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	AMER INTL GROUP INC.			X										X			X					X										P
SP	AUTOMATIC DATA PROC			X													X					X										P
SP	BRISTOL MYERS SQUIBB CO.			X													X				X											P
SP	CITIGROUP INC.			X										X			X							X								S
SP	CHEVRON TEXACO CORP			X										X								X										P
SP	CISCO SYSTEMS INC.			X													X				X											P,S
SP	DEERE CO.			X													X				X											P
SP	DELL COMPUTER CORP			X																	X											P
SP	EXXON MOBIL CORP			X										X			X				X											P,S
SP	FREDDIE MAC			X										X			X					X										P,S
SP	FANNIE MAE (USA)			X										X			X					X										P
SP	GOLDMAN SACHS GROUP INC.			X										X								X										P
SP	GENERAL ELECTRIC			X										X			X				X											P,S
SP	HONEYWELL INTL INC.			X										X			X				X											P,S
SP	HOME DEPOT INC.			X										X			X				X											P,S
SP	INGERSOLL RAND			X										X								X										P
SP	INTEL CORP			X										X			X					X										P
SP	INTRPUBLIC GRP OF CO			X										X								X										P
SP	JP MORGAN CHASE AND CO			X										X			X				X											P,S
SP	JABIL CIRCUIT INC.			X																	X											P
SP	JOHNSON AND JOHNSON			X										X			X					X										P
SP	MORGAN ST. DEAN WITTER			X										X								X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHARLES A. GONZALEZ

Page 5 of

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
SP, DC, JT		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP	MGIC INVT CORP			X										X			X					X										P
SP	MARSH & MCLENNAN COS INC			X										X								X										P
SP	MASCO CORP			X										X			X				X											P
SP	MEDTRONIC INC			X													X				X											P
SP	MERCK & CO INC.			X										X			X				X											P,S
SP	MICROSOFT CORP			X													X				X											P,S
SP	ORACLE CORP			X													X				X											P,S
SP	PMI GROUP INC			X													X					X										P
SP	PEPSICO INC.			X										X			X					X										P,S
SP	PFIZER INC.			X										X			X						X									P,S
SP	PRAXAIR INC			X										X			X					X										P
SP	QUALCOMM INC.			X													X					X										P
SP	RADIAN GROUP INC			X										X			X					X										P
SP	RADIOSHACK CORP			X																	X											P
SP	SPX CORP COM			X																	X											P
SP	SAFEWAY INC			X													X					X										P
SP	SBC COMMUNICATIONS INC			X										X			X				X											P,S
SP	SCHLUMBERGER LTD			X										X			X				X											P
SP	SANMINA-SCI CORP			X																	X											P
SP	TENET HEALTHCARE CORP			X													X						X									S
SP	TARGET CORP			X										X			X						X									P,S
SP	WAL MART STORES INC			X													X					X										P

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHARLES A. GONZALEZ

Page 6 of

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	WALGREEN CO.			X										X			X					X										P
SP	WEYERHAEUSER CO			X										X			X					X										P
SP	MERRILL LYNCH CMA MONEY FD			X										X								X										
SP	AEGON N V AMER REG			X										X								X										
SP	ASTRAZENECA PLC			X										X								X										
SP	AVENTIS			X										X								X										
SP	ABN-AMRO HOLDING			X										X								X										
SP	BANK OF AMERICA CORP			X										X								X										
SP	CADBURY SCHWEPPES			X										X								X										
SP	CITIGROUP INC.			X										X								X										
SP	DIAGEO PLC			X										X								X										
SP	DEUTSCHE BANK			X										X								X										
SP	DU PONT E L DE NEMOURS			X										X								X										
SP	ENI SPA			X										X								X										
SP	ENDESA SA			X										X								X										
SP	EXXON MOBIL CORP			X										X								X										
SP	FANNIE MAE			X										X								X										
SP	GLAXOSMITHKLINE			X										X								X										S
SP	GENERAL ELECTRIC			X										X								X										
SP	HSBC HLDG PLC			X										X								X										
SP	HEINEKEN NV			X										X								X										
SP	INTL BUSINESS MACH			X										X								X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHARLES A. GONZALEZ

Page 7 of

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	ING GP			X										X								X										
SP	JOHNSON AND JOHNSON			X										X								X										
SP	KAO CORP			X										X								X										
SP	LILLY ELI CO			X										X								X										P
SP	MERCK & CO INC			X										X								X										
SP	NOVARTIS ADR			X										X								X										
SP	NESTLE SA REP			X										X								X										
SP	PROCTER GAMBLE			X										X								X										
SP	ROYAL DUTCH PETE			X										X								X										
SP	SOCIETE GENERAL			X										X								X										
SP	SBC COMMUNICATIONS INC			X										X								X										
SP	SIEMENS AG			X										X								X										
SP	SONY CORP			X										X								X										
SP	TOTAL FINA ELF SA			X										X								X										
SP	UNILEVER PLC			X										X								X										
SP	VERIZON COMMUNICATIONS			X										X								X										
SP	VIVENDI UNIVERSAL			X										X								X										
SP	MERRILL LYNCH RETIREMENT RES			X										X									X									
SP	VAN KAMP PACE FUND CIA			X										X								X										P
SP	AVON PROD INC	X												X			X						X									S
SP	BANK ONE CORP	X												X		X	X						X									S
SP	DUKE CAPITAL CORP BONDS	X														X	X						X									S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name CHARLES A. GONZALEZ

Page 8 of

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	P, S, E
SP	FEDERAL HOME LOAN MTG COR	X														X	X							X								S
SP	FEDERAL NATL MTG ASSN NOTE	X														X	X							X								S
SP	FEDERATED DEPT. STORES	X															X						X									S
SP	FORD MOTOR CO BONDS	X														X	X						X									S
SP	HOUSEHOLD FIN CORP BONDS	X														X	X						X									S
SP	JOHNSON CONTROLS INC	X												X			X						X									S
SP	JP MORGAN CHASE & CO NOTE	X														X	X						X									S
SP	KROGER CO	X															X						X									S
SP	LEHMAN BROS HOLDINGS NOTE	X														X	X						X									S
SP	LOCKHEED MARTIN CORP	X															X						X									S
SP	NATL WESTMINSTER BANK NOT	X														X	X						X									S
SP	NM GENL ELEC CAP CORP NOT	X														X	X						X									S
SP	PHILIP MORRIS	X												X			X							X								S
SP	PHILIP MORRIS NOTES	X														X							X									S
SP	PROVIDIAN FINCL CORP	X												X			X						X									S
SP	RAYTHEON COMPANY NOTES	X														X	X						X									S
SP	SPRINT CORP	X															X						X									S
SP	TIME WARNER INC BONDS	X														X	X						X									S
SP	TXU CORP	X												X			X						X									S
SP	TYCO INTL GROUP NOTES	X														X	X						X									S
SP	TYCO INTL LTD	X												X			X						X									S
SP	UNITED HEALTHCARE	X															X						X									S

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name CHARLES A. GONZALEZ

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SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK F Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
SP	US TREASURY BONDS	X														X	X								X							S
SP	US WEST CAP NOTES	X														X	X						X									S
SP	WAL MART STORE BONDS	X														X	X						X									S
	CONGRESSIONAL FED CRE UN			X												X						X										
DC	TWEEDY, BROWN GLOBAL VALUE				X									X			X						X									S
DC	AIM WEINGARTEN FUND			X																												

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Name CHARLES A. GONZALEZ

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example* Mega Corporation Common Stock	X			10-12-01		X								
SP	BANK ONE CORP BONDS		X		1-24-01, 4-18-01	X									
SP	GOLDMAN SACHS GROUP INC. BONDS		X		10-9-01	X									
SP	HOUSEHOLD FINANCE CORP BONDS		X		5-3-01, 10-9-01	X									
SP	CONOCO INC BONDS		X		10-9-01	X									
SP	CHASE MANHATTAN CORP BONDS		X		2-8-01	X									
SP	CITIGROUP INC BONDS		X		2-8,5-3,6-6, 8-2,10-9-01	X									
SP	DUKE CAPITAL CORP BONDS		X		5-3,9-24, 10-9-01	X									
SP	DOMINION RESOURCES INC BONDS		X		5-3-01, 10-9-01	X									
SP	FORD MOTOR CREDIT CO BONDS		X		10-9-01	X									
SP	JP MORGAN CHASE BONDS		X		5-3-01, 10-9-01	X									
SP	LEHMAN BROS HOLDINGS INC BONDS		X		5-3-01, 5-4-01	X									
SP	MORGAN ST DEAN WITTER BONDS		X		10-9-01	X									
SP	NATIONAL WESTMINSTER BANK BONDS		X		5-3-01, 10-9-01	X									
SP	PHILIP MORRIS COS INC BONDS		X		5-3-01, 10-9-01	X									
SP	RAYTHEON COMPANY BONDS		X		5-3-01, 10-9-01	X									
SP	SPRINT CAPITAL CORP BONDS		X		1-18-01, 4-19-01	X									

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Name CHARLES A. GONZALEZ | Page 11 of __

SCHEDULE IV — TRANSACTIONS

	Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	TIME WARNER INC BONDS		X		8-1-01, 10-9-01	X									
SP	TYCO INTERNATIONAL BONDS		X		5-3-01, 10-9-01	X									
SP	US WEST CAP FUNDING INC BONDS		X		6-25-01, 10-9-01	X									
SP	UNILEVER NV BONDS		X		3-2-01	X									
SP	UNION PACIFIC CORP BONDS		X		5-3-01, 8-23-01	X									
SP	WORLDCOM INC. BONDS		X		8-1-01, 10-9-01	X									
SP	WALT DISNEYCO BONDS		X		10-9-01	X									
SP	WILLIAMS CO INC BONDS		X		10-9-01	X									
SP	WAL MART STORES BONDS		X		5-3-01, 10-9-01	X									
SP	TYCO INTERNATIONAL GROUP BONDS		X		2-20-01	X									
SP	FORD MORTOR CO BONDS		X		6-6-01	X									
SP	FEDERAL HOME LN MTG CORP BONDS		X		3-15,5-10, 10-9-01	X									
SP	FEDERAL NATL MORTGAGE ASSOC BONDS		X		4-5,8-1, 10-9-01	X									
SP	FEDERAL HOME LN MTG CORP BONDS		X		5-29,6-20, 10-9-01		X								
SP	US TREASURY NOTE		X		8-1-01, 10-9-01	X									
SP	US TREASURY NOTE		X		1-23,5-3, 6-19-01	X									

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SCHEDULE IV — TRANSACTIONS

Name CHARLES A. GONZALEZ

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	US TREASURY NOTE		X		5-3, 8-1, 10-9-01	X									
SP	US TREASURY NOTE		X		8-1, 8-17, 10-9-01	X									
SP	US TREASURY BOND		X		5-3, 8-1, 10-9-01	X									
SP	US TREASURY NOTE		X		9-25-01, 10-9-01	X									
SP	US TREASURY BOND		X		4-12, 4-19, 10-9-01	X									
SP	FEDERAL NATL MTG ASSN NOTES		X		7-11-01, 10-9-01	X									
SP	NM GENL ELEC CAP CORP BOND		X		5-3-01, 6-25-01	X									
SP	AMDOCS LIMITED		X		7-27-01, 8-16-01	X									
SP	AOL TIME WARNER INC		X		10-9-01	X									
SP	AES CORP		X		8-2, 8-8, 8-9 8-10, 8-13, 9-7, 9-10-01	X									
SP	AVON PROD INC		X		10-9-01	X									
SP	BAKER HUGHES INC.		X		10-9-01	X									
SP	BANK ONE CORP		X		6-26, 6-27, 7-6, 7-11-01	X									
SP	BP PLC		X		10-9-01	X									
SP	CARDINAL HEALTH INC OHIO		X		10-9-01	X									

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		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	COX COMMUNICATIONS INC		X		5-2,7-25, 7-26,8-2, 10-9-01	X									
SP	CITIGROUP INC		X		1-9,1-11, 1-25,8-2, 10-2,10-9, 11-26-01	X									
SP	CATERPILLAR INC.		X		11-9-01, 11-19-01	X									
SP	CISCO SYSTEMS INC		X		1-2,5-29, 8-2-01	X									
SP	COLGATE PALMOLIVE		X		7-31-01, 8-01-01	X									
SP	DANAHER CORP		X		10-9-01	X									
SP	DYNEGY INC		X		8-2-01, 10-9-01	X									
SP	DOW CHEMICAL		X		10-9-01	X									
SP	EMC CORP		X		1-3,5-16, 7-24-01	X									
SP	ELECTR DATA SYSTEM CORP		X		10-9-01	X									
SP	EXXON MOBIL CORP		X		7-31,8-2, 8-3,8-30, 11-26-01	X									
SP	ENRON CORP		X		2-6,8-17, 8-20-01	X									
SP	FEDERATED DEPT STORS		X		1-31,8-2, 9-7,9-10, 9-18-01	X									

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		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	FREDDIE MAC		X		8-2,9-26, 10-26, 11-26-01	X									
SP	FORD MOTOR CO		X		6-26,6-27, 7-6,7-11-01	X									
SP	GAP INC		X		1-18,1-19, 7-25,7-26-01	X									
SP	GENERAL ELECTRIC		X		3-13,5-3, 7-11, 11-26-01	X									
SP	HONEYWELL INTL INC		X		3-26,8-2, 11-26-01	X									
SP	HOME DEPOT INC		X		5-29,5-30, 8-2,11-26-0	X									
SP	HOUSEHOLD INTL INC.		X		10-9-01	X									
SP	INTL BUSINESS MACH		X		10-9-01	X									
SP	JP MORGAN CHASE AND CO		X		1-31,2-1, 11-26,12-13 12-19-01	X									
SP	JOHNSON CONTROLS INC		X		1-31,2-1, 2-2,3-14, 3-15,5-8, 5-9,5-10, 5-11,5-14, 8-2,10-9-01	X									
SP	KEYCORP		X		10-9-01	X									

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SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	KOHLS CORP		X		10-9-01	X									
SP	KROGER CO		X		2-22,3-14, 3-15,5-3, 8-2,10-9-01	X									
SP	LOCKHEED MARTIN CORP		X		10-9-01	X									
SP	MCGRAW HILL COMPANIES		X		2-5,2-6, 2-7,2-8, 8-2,10-9-01	X									
SP	MERCK & CO INC		X		7-25,7-26, 7-27, 11-26-01	X									
SP	MICROSOFT CORP		X		1-3,8-2,10-9 11-26-01	X									
SP	NORTEL NETWORKS CORP		X		3-26,3-27, 5-17-01	X									
SP	ORACLE CORP		X		1-9,8-2,8-3 9-4,11-26-01	X									
SP	PROVIDIAN FINL CORP		X		5-3,8-2,8-9 8-10,8-13, 8-14,8-16, 8-24-01	X									
SP	PHARMACIA CORP		X		7-26-01, 7-27-01	X									
SP	PEOPLESOFT INC		X		10-9-01	X									
SP	PEPSICO INC		X		10-9-01, 11-26-01	X									

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		Type of Transaction			Date	Amount of Transaction									
Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	PFIZER INC		X		8-2-01, 10-9-01	X									
SP	PHILIP MORRIS COS INC		X		8-2-01, 10-9-01	X									
SP	SPRINT CORP		X		10-9-01	X									
SP	SBC COMMUNICATIONS INC		X		5-3,8-2,8-21 8-22,8-23,	X									
					8-24,9-6, 11-26-01										
SP	SCHERING PLOUGH CORP		X		2-22,5-16, 7-2,7-3-01										
SP	SOLECTRON CORP		X		1-24,1-26, 3-1,3-13,	X									
					3-14,3-19, 5-3,7-11,										
					7-12-01										
SP	TENET HEALTHCARE CORP		X		10-9-01	X									
SP	TEXAS INSTRUMENTS		X		5-3-01, 10-9-01	X									
SP	TYCO INTL LTD		X		5-3-01, 10-9-01	X									
SP	TARGET CORP		X		4-17,6-12, 10-9,	X									
					11-26-01										
SP	TXU CORP		X		8-2-01, 10-9-01	X									
SP	UNITED HEALTH GROUP INC		X		4-17,5-1. 10-9-01	X									

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Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	US BANCORP		X		5-3,8-2, 9-10,9-19,	X									
					9-20, 9-21-01										
SP	UNTD TECHNOLOGIES CRP		X		4-10,5-9, 5-10,	X									
					10-9-01										
SP	VERITAS SOFTWRE		X		8-14-01, 8-16-01	X									
SP	WATSON PHARMACEUTICALS		X		10-9-01	X									
SP	WELLS FARGO & CO		X		3-1,10-2, 10-9-01	X									
SP	US TREASURY BONDS	X			9-7-01	X									
SP	US TREASURY NOTES	X			4-12,6-19, 8-23,8-30,			X							
					10-10, 10-16-01										
SP	AIR PRODUCTS & CHEM	X			10-10-01	X									
SP	ALTERA CORP	X			10-10-01, 10-15-01	X									
SP	AMDOCS LIMITED	X			5-30,5-31, 6-1-01	X									
SP	AOL TIME WARNER INC	X			3-15,4-23, 5-1,	X									
					6-12-01										
SP	AUTOMATIC DATA PROC	X			10-10-01	X									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example.* Mega Corporation Common Stock	X			10-12-01		X								
SP	BAKER HUGHES INC	X			8-30-01, 8-31-01	X									
SP	BANK ONE CORP	X			1-24,5-16, 5-17-01	X									
SP	BP PLC	X			6-26,6-27, 7-6-01	X									
SP	BRISTOL MEYERS SQUIBB	X			10-10-01	X									
SP	CARDINAL HEALTH INC	X			7-26,7-27, 7-30,7-31-01	X									
SP	CATERPILLAR INC	X			10-10-01	X									
SP	CENDANT CORP	X			7-31,8-2, 8-3,8-21-01	X									
SP	CISCO SYSTEMS	X			3-20,9-26, 9-27,10-10,	X									
					10-15, 11-26-01										
SP	CITIGROUP INC	X			2-8,8-2, 8-6-01	X									
SP	CONOCO INC	X			6-6-01	X									
SP	CVS CORP	X			10-10-01	X									
SP	DANAHER CORP	X			8-2-01	X									
SP	DEERE CO	X			10-10-01	X									
SP	DELL COMPUTER	X			10-10-01, 10-15-01	X									
SP	DOMINION RESOURCES INC	X			1-24-01	X									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	DOW CHEMICAL	X			4-17,5-3, 7-6-01	X									
SP	DYNEGY, INC	X			4-23,4-24, 4-25,5-9, 5-10, 5-11-01	X									
SP	ELECTR DATA SYS CORP	X			3-14-01, 9-18-01	X									
SP	EMC CORP	X			5-3-01, 10-10-01	X									
SP	EXXON MOBIL	X			2-23-01, 10-10-01	X									
SP	FANNIE MAE	X			10-10-01	X									
SP	FEDERAL HOME LOAN MRTG CORP	X			4-5,5-4, 6-26,7-11, 9-7-01	X									
SP	FEDERAL NATL MTG ASSN	X			5-29-01, 6-20-01	X									
SP	FORD MOTOR CREDIT CO	X			6-6-01	X									
SP	FREDDIE MAC	X			1-10,1-11, 2-6,2-13, 5-1,5-9, 10-10-01	X									
SP	GENERAL ELECTRIC	X			2-6-01, 10-10-01	X									
SP	GOLDMAN SACHS GROUP INC	X			5-4-01, 10-10-01	X									
SP	HONEYWELL INTL INC	X			10-15-01, 10-17-01	X									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	HOUSEHOLD INTL INC	X			8-10,8-13, 8-14,8-16, 9-10-01	X									
SP	INGERSOLL RAND	X			10-10-01	X									
SP	INTL BUSINESS MACH	X			4-10-01, 4-23-01	X									
SP	JOHNSON AND JOHNSON	X			5-17,7-25, 7-26,8-22, 10-10-01	X									
SP	JP MORGAN CHASE AND CO	X			2-8-01, 10-10-01	X									
SP	KEYCORP	X			6-26,6-27, 7-9,7-11-01	X									
SP	KOHLS CORP	X			5-3-01, 6-12-01	X									
SP	MARSH & MCLENNAN COS	X			10-10-01	X									
SP	MASCO CORP	X			7-31,8-2, 8-3,8-21, 8-22,8-23, 10-10-01	X									
SP	MEDTRONIC INC	X			10-10-01	X									
SP	MERCK & CO	X			1-3-01, 10-10-01	X									
SP	MGIC INVT CORP	X			10-10-01	X									
SP	MICROSOFT CORP	X			3-15,3-20, 4-3,10-26-01	X									

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SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	x			10-12-01		x								
SP	MORGAN ST DEAN WITTER	X			4-18,4-20, 10-10-01	X									
SP	ORACLE CORP	X			10-10-01, 10-15-01	X									
SP	PEOPLESOFT INC.	X			7-11,7-12, 7-13,7-16	X									
					8-14,8-16, 8-31,9-4-01										
SP	PEPSICO	X			1-3,1-25, 1-26,2-1,	X									
					11-12,11-20-01										
SP	PFIZER INC	X			2-23-01, 11-26-01	X									
SP	PMI GROUP INC	X			10-10-01	X									
SP	PRAXAIR INC	X			10-10-01	X									
SP	QUALCOMM INC.	X			10-10-01	X									
SP	RADIAN GROUP INC	X			10-10-01	X									
SP	RADIO SHACK CORP	X			10-10-01	X									
SP	SAFEWAY INC.	X			10-10-01	X									
SP	SANMINA CORP	X			10-10-01, 10-15-01	X									
SP	SBC COMMUNICATIONS	X			2-1,2-2,4-6, 10-10-01	X									
SP	SCHLUMBERGER LTD	X			10-10-01	X									

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		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	SPRINT CAPITAL CORP	X			1-18-01	X									
SP	SPRINT CORP	X			8-8-01, 9-19-01	X									
SP	SPX CORP	X			10-10-01, 10-15-01	X									
SP	TARGET CORP	X			7-25,7-26, 7-31,8-2-01	X									
SP	TXU CORP	X			1-22,5-17, 5-18,5-21-01	X									
SP	TYCO INTL LTD	X			2-20-01, 3-2-01	X									
SP	UNION PACIFIC CORP	X			3-2,6-5,6-6, 6-7,7-24, 7-25-01	X									
SP	UNITED TECHNOLOGIES	X			7-11,7-12, 7-13,7-16-01	X									
SP	LILLY ELI CO	X			7-12-01	X									
SP	PHARMACIA CORP	X			2-6-01, 3-2-01	X									

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

(8) LEGISLATIVE RESOURCE CENT
2002 MAY 14 PM 2:44
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVE

MC

(Office Use Only)

Virgil H. Goode, Jr.
(Full Name)

90 East Church Street
Rocky Mount, VA 24151
(Mailing Address)

202-225-4711 (Daytime Telephone)
202-225-4711

Filer Status	☒ Member of the U.S. House of Representatives — State: VA District: 5th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Virgil H. Goode Jr.	May 14, 2002

Name Virgil H. Goode, Jr.

Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Executor Fee on Aunt's Estate - Approved by Ethics Committee		$ 19,000.00

For payments to charity in lieu of honoraria, use Schedule II.

Name Virgil H. Goode, Jr.

Page 1 of 4

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	2 acres with old office Rt. 2, Rocky Mount, VA					X														None												
	1/8 interest in house & lot, Rt. 1, Henry, VA			X																None												SOLD
	1/2 interest in 50 acres Rt. 3, Ferrum, Va 24088				X															None												
	lotand office- 235 S. Main St. (formerly 112 N. Main St.) Rocky Mt., VA					X														None												
	1/2 interest-3 lots Kohler Rt. 1, Fieldale, VA 24089			X																None												
	1/2 interest with sister 28 acres, Rt. 1, Henry, VA			X																None												

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Virgil H. Goode Jr

Page 2 of 4

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
	1/2 interest in 200 acres in house and land Rt. 2 Rocky Mount, VA (with sister)						X								X								X									
	1/2 interest with sister in 2 acres at Henry			X											X								X									
	1/2 interest with sister in 7.78 acres in BRD in Franklin County, VA			X																None	X											
	combined checking saving Suntrust Bank			X												X							X									
SP	Philip Morris Stock			X										X									X									
JT	Loudoun Co. Mun. Bond			X												X							X									
SP	Halifax Co. IDA Bond			X																												
	Suntrust Stock							X						X												X						
	Cardinal Stock				X									X									X									
	Capital One Stock						X							X									X									
	Peoples Bank Stock			X										X									X									
	Central Natl. Bank Stock		X																	None	X											
	Shenandoah Natl. Bank Stock			X										X								X										
	Mountain National Bank Stock			X										X								X										
	Patriot Bank Stock			X										X									X									
	Vanguard Municipal Bond Fund						X									X								X								
SP	SunTrust combined checking and saving			X												X						X										

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Virgil H. Goode, Jr.

Page 3 of 4

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	First Union Stock (Wachovia)						X							X											X							
SP	Vanguard Municipal Bond Fund				X											X							X									
	J.P. Morgan-Chase Common Stock			X										X									X									
	Household Beneficial Preferred			X										X									X									
	~~[illegible]~~s Henry County Plywood Stock)			X										X								X										
	ATT Stock			X										X								X										
	Lucent Technologies Stock		X																	NONE	X											
	Homestake Stock(Now Barrick)			X										X								X										
	SBC Communications Stock			X										X								X										
SP	Newport News Mun. Bond			X												X							X									
	BB and T				X									X									X									
	Franklin Co. Mun. Bond			X												X							X									called
	Wheat FIRST _ IRA			X												X							X									
SP	Suntrust (IRA)			X												X							X									
	Congressional Fed. Credit Union			X												X							X									
	Trigon Stock			X																NONE	X											
	Chesapeake Bay Bond			X												X							X									
	First VA BAnk Stock			X										X									X									
JT	House & Lot - 115 Orchard Ave. Rocky Mount, VA 24151					X														NONE												SOLD

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Virgil H. Goode, Jr.

Page 4 of 4

SP, DO, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I		K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
	Federal Thrift Savings Plan					X								X											X							
	American Electric Power					X								X										X								Part Purchased
	Occidental Petroleum				X									X									X									
	DCH Technology			X																NONE	X											
	Dimon			X										X								X										
	EExxon				X									X						NONE												Purchase
	Ballard Power			X										X						NONE	X											Purchase

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SCHEDULE IV — TRANSACTIONS

Name Virgil H. Goode, Jr.

Page 1 of 1

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Former Residence 115 Orchard Avenue ~~not rented Rocky Mount, VA 24151~~		X		9-5-01			X							
	1/8 interest in house and lot Rt. 1, Henry, V		X		11-27-01	X									
	InnKeeper USA Common Stock	X			9/27/01	X									
	InnKeeper USA Common Stock		X		12/26/01	X									
	Ballard Power Common Stock	X			9/27/01	X									
	AEP Common Stock	X			12/10/01		X								
	Exxon Common Stock	X			12/10/01		X								

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Name Virgil H. Goode,Jr.

Page 1 of 1

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Haritage Foundation		Jan 4-5, 2001	Wash, DC - Baltimore-Wash, DC	Y	Y	Y	N

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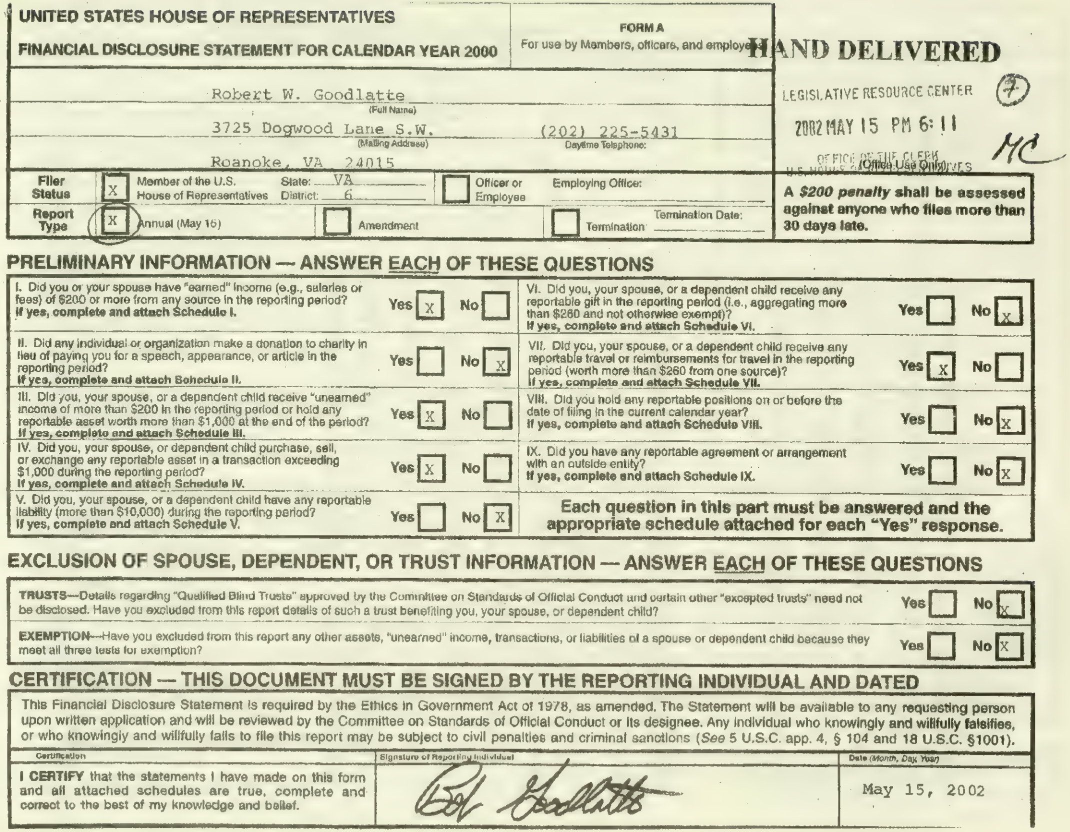

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2000

FORM A

For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 6:11

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

7

MC

Robert W. Goodlatte
(Full Name)

3725 Dogwood Lane S.W.
(Mailing Address)

(202) 225-5431
(Daytime Telephone)

Roanoke, VA 24015

Filer Status	☒ Member of the U.S. House of Representatives — State: VA District: 6	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A **$200** ***penalty*** **shall be assessed against anyone who files more than 30 days late.**

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Bob Goodlatte	May 15, 2002

Name Goodlatte, Robert W.

Page 2 of 7

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Glenn, Feldman, Darby and Goodlatte, P.C., Roanoke, VA	Spouse Salary	NA
	Roanoke Gas Company, Roanoke, VA	Spouse	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Goodlatte, Robert W.

Page 3 of 7

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B A	B	C	D	E	F	G	H	I	J	K		BLOCK C							BLOCK D I	II	III	IV	V	VI	VII	VIII	IX	X	XI	BLOCK E
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	P, S, E
SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	Wachovia Bank Roanoke, VA (savings)			X												X						X										
JT	Bank of America Roanoke, VA (savings)			X												X																
JT	First Citizens Bank Roanoke, VA (sav/ck)					X										X																
	First Citizens Bank Roanoke, VA (savings)					X										X																
	SunTrust Bank Roanoke, VA (IRA)			X												X							X									
SP	SunTrust Bank Roanoke, VA (IRA)			X												X							X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Goodlatte, Robert W.

Page 4 of 7

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income							Amount of Income											Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	Greenwood Trust Co. DE			x												x																
	Charter Fed. Roank IRA			x												x																
	Mass Mutl Life (Life In			x										x																		
SP	Duff-Phelps Util 401K				x									x											x							P
SP	Guardian Park Ave 401K				x									x								x										
JT	Valley Bnk Roanoke (ck)		x													x					x											
SP	Bond Fd of Amer 401K				x									x										x								P
SP	New Persp Fund 401K				x									x									x									P
SP	New York Venture Fd 401K				x									x								x										
SP	Bankers Tr Mkt Lnk 401K		x													x					x											
SP	Bankers Tr Eufe Lk 401K				x											x					x											
SP	Seligman Comm. 401K					x								x							x											P
SP	GAM Intl Funds 401K				x									x											x							
SP	Sogen Intl Funds 401K				x									x										x								
DC	Valley Bank Roanoke CD			x												x						x										
	Janus Fund IRA				x									x							x											
SP	Fifth Third Bancrp IRA			x										x									x									
SP	GNMA Govt Sec IRA		x											x										x								
SP	Merrill Lynch Fd Grth IRA													x							x											P
SP	Wash Mutl Inv Fd IRA				x									x									x									
SP	Merr Lynch Ret Res IRA		x													x						x										
SP	Nicholas Fund IRA				x									x							x											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Goodlatte, Robert W.

Page 5 of 7

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset						BLOCK C Type of Income				BLOCK D Amount of Income						BLOCK E Transaction
		A None	C $1,001 – $15,000	E $50,001 – $100,000	G $250,001 – $500,000	I $1,000,001 – $5,000,000	K $25,000,001 – $50,000,000	DIVIDENDS	INTEREST	EXCEPTED TRUST	Other Type of Income (Specify)	I None	III $201 – $1,000	V $2,501 – $5,000	VII $15,001 – $50,000	IX $100,001 – $1,000,000	XI Over $5,000,000	P, S, E
JT	Amer Fds Tax Exmt Bds							x										
SP	Glenn Feldman Drby Gdltt			x				x				x						
JT	Ind Natl Mtg Corp CT		x						x									
JT	State St Res Eqty TR							x										
JT	Centnl MM TR AG Ed		x						x				x					
	Centnl MM TR AG Ed		x						x									
	Templeton Forgn Fd IRA		x					x					x					
	Investmt Co of Amer IRA							x					x					
	UTS Govt Secs Inc IRA								x									
SP	Legg Mason Cash Act 401k		x						x				x					
JT	MFS Va Muni Bd Fund								x									
JT	T Rowe Price Int Stk Fd							x					x					
DC	Wachovia Bank								x									
	Valley Bank Roanoke CD								x									

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SCHEDULE IV — TRANSACTIONS

Name Goodlatte, Robert W.

Page 6 of 7

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	WalMart Stores, Inc. Note		X		3-27-01	X									

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Name Goodlatte, Robert W. **Page** 7 **of** 7

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6-11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	The Aspen Institute	Mar 9-11	DC-White Sulpher Sprgs WV-DC	Y	Y	Y	N
	Virginia Elect. Bd Assoc	Mar 16-17	Hot Springs, VA	Y	Y	Y	N
	Cellular Telecommunication Ind. Assoc	May 4-6	Hot Springs, VA	Y	Y	Y	N
	MIS Training Institute Walt Disney, Univeral Vivendi	Aug 4-7	Roanoke VA-Anaheim CA-Universal City CA-Roanoke	Y	Y	Y	N
	American Crop ProtectionA	Sept 28-30	White Sulpher Springs	Y	Y	Y	N
	American Society of Composers Authors and Publishers	Oct 13-15	DC - New York, NY - Washington, DC	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

166

LEGISLATIVE RESOURCE CENTER
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OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

LEGISLATIVE RESOU
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HOUSE OF REPRE

MC (Office Use Only)

Barton Jennings Gordon
(Full Name)

940 E. Northfield Blvd
(Mailing Address)

Murfreesboro, Tenn. 37130

202-225-4231
Daytime Telephone:

Filer Status ☒ Member of the U.S. House of Representatives State: Tenn. District: 6th ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐		VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒	
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒		VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐	
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐		VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒	
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐		IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒	
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☒		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Barton J Gordon	6/12/02

Name Barton Gordon **Page** 2 **of** 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Korn/Ferry International	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Barton J. Gordon

Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples:* Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	Wright Patman Credit Union				X																			X								
	Salomon Smith Barney IRA	A+A			X																											P
SP	Fidelity 401K (Index Fund)						X														NA											
SP	Korn/Ferry Int. Restricted Stock & options								X												NA											
SP	Korn/Ferry wealth Acc. Plan				X																NA											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Barton J. Gordon

Page 4 of 6

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Year-End Value of Asset												Type of Income							Amount of Income											Transaction
SP, DC, JT		A None	B	C $1,001 – $15,000	D	E $50,001 – $100,000	F	G $250,001 – $500,000	H	I $1,000,001 – $5,000,000	J	K $25,000,001 – $50,000,000	L	DIVIDENDS		INTEREST		EXCEPTED TRUST		Other Type of Income (Specify)	I None	II	III $201 – $1,000	IV	V $2,501 – $5,000	VI	VII $15,001 – $50,000	VIII	IX $100,001 – $1,000,000	X	XI Over $5,000,000	P, S, E
SP	Northwestern Life Ins.			X																	NA											
SP	J.P. Morgan Checking				X																		X									
SP	Salomon Smith Barney (B)								X																							
SP	" " " (C)					X																										
SP	" " " (D)						X																									
SP	" " " (E)					X																										
SP	" " " (F)					X																										
SP	" " " (G)						X																									
SP	" " " (H)		X																													
DC	" " " (I)				X																											
JT	" " " (J)				X																											
	Linder IRA				X																X											S

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SCHEDULE IV — TRANSACTIONS

Name Barton J Gordon | Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	Type of Transaction: SALE	Type of Transaction: EXCHANGE	Date (MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
	Salomon Smith Barney (A) scheduled att.		X												
SP	" " " (B) " "		X												
SP	" " " (C) " "		X												
SP	" " " (d) " "		X												
SP	" " " (e) " "		X												
SP	" " " (f) " "		X												
SP	" " " (G) " "		X												
SP	" " " (H) " "		X												
DC	" " " (I) " "		X												
JT	" " " (J) " "		X												
	Linder IRA		X				X								

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Name Barton J. Gordon | Page 6 of 6.

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Harvard Kennedy School of Government	Feb 13	Wash., DC - Boston Bos	N	N	N	N

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(A)

SALOMON SMITH BARNEY
A member of citigroup

Select Client
Individual Retirement Account

December 1 - December 31, 2001

Page 1 of 6

[redacted]

Account number [redacted]

[redacted]
BARTON JENNINGS GORDON
SSB IRA CUSTODIAN
2527 BELMONT RD, NW
WASHINGTON DC 20008-1613

SALOMON SMITH BARNEY INC.
Your Financial Consultant

CHRIS VASILIU
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
732-224-3789
Select Service Center:1-800-423-7248
Branch: 800-862-3108
Email: christopher.j.vasiliu@ssmb.com

Salomon Smith Barney is a service mark of Salomon Smith Barney Inc.
Salomon Smith Barney Inc. is a member of the Securities Investor Protection Corporation (SIPC).

Message: *Please note that Salomon Smith Barney is required by law to report the December 31, 2001 Fair Market Value of this account to the Internal Revenue Service. Salomon Smith Barney will forward this information to the IRS on or before May 31, 2002, on IRS Form 5498.*

Account value	Last period	This period	%
Bank Deposit Program℠-principal	$ 6,290.87	$ 5,293.93	13.39
Bank Deposit Program accrued interest	6.99	.22	
Mutual funds	33,829.04	34,249.08	86.61
Net value	$ 39,115.90	$ 39,543.23	100

Fair Market Value 12/31/01 $ 39,543.23

Earnings summary	This period	This year
Dividends	$ 7.89	$ 23.99
Bank Deposit Program℠	13.06	163.67
Cap. gains distributions	192.89	199.90
Total	$ 213.84	$ 387.56

Gain/loss summary	This period	This year
Realized gain or (loss)	$ 0.00	$ 0.00 LT $ 0.00 ST
Unrealized gain or (loss)	(974.79)	*Not applicable*

SALOMON SMITH BARNEY
A member of citigroup

[redacted]

Select Client
Individual Retirement Account

December 1 - December 31, 2001

Page 2 of 6

BARTON JENNINGS GORDON Account number [redacted]

Cash balance	This period	This year
Opening balance	$ 5,280.87	
Securities bought and other subtractions	-200.78	
Securities sold and other additions	0.00	
Deposits	0.00	4,000.00
Withdrawals	0.00	0.00
Dividends credited	7.89	
Bank Deposit Program℠ interest reinvested	13.06	
Capital gains distributions credited	192.89	
Closing balance	$ 5,293.03	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary	This period	Year-to-date as of 1/1/01
Opening value of securities	39,116.90	37,453.87
+ Opening cash balance	0.00	0.00
= Opening portfolio balance	39,116.90	37,453.87
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	0.00	0.00
Adjusted opening value	39,116.90	37,453.87
Closing value of securities	39,543.23	39,543.23
+ Closing cash balance	0.00	0.00
= Closing portfolio value	39,543.23	39,643.23

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account℠ transfers.

IRA activity summary

Salomon Smith Barney reports to the IRS contribution, rollover, recharacterization and distribution information. For your convenience, this statement tracks deductible and non-deductible contributions separately, based on information you provided. However, only the total contribution amount is reported to the IRS.

	2001	2000	Since Inception*
Contributions			
Non-deductible	$ 2,000.00	$ 2,000.00	$ 4,000.00
Total contributions	$ 2,000.00	$ 2,000.00	$ 4,000.00

**Note: This column reflects activity (does not include incoming or outgoing transfers of cash & securities) from your account opening date or 01/01/94, whichever is later, unless you provide details of prior activity. This column is provided for informational purposes only. Salomon Smith Barney is not responsible for any information you provide. Please contact your Financial Consultant if you wish to adjust this column.*

Primary Beneficiaries

Contact your Financial Consultant for the appropriate documentation to change or update your beneficiary information.

LESLIE GORDON

SALOMON SMITH BARNEY
A member of citigroup

Select Client
Individual Retirement Account
December 1 - December 31, 2001

Page 3 of 6

[redacted]

BARTON JENNINGS GORDON *Account number* [redacted]

Portfolio details *The values of your holdings are as of 12/31/01.*

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.
Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Bank Deposit Program℠

Balances are FDIC insured up to $100,000 per institution, subject to combined total of all your deposits, including those outside this account.

Principal	Description	Current value	Accrued interest	Annualized % return/Anticipated income (annualized)
5,293.93	CITIBANK NA BANK DEPOSIT PROGRAM	$ 5,293.93	$ .22	1.60 % $ 84.70
Total Bank Deposit Program		$ 5,293.93	$ .22	1.60 $ 84.70

Mutual funds

Yield is the current distribution annualized, divided by the fund's net asset value at the end of the statement period. Distributions may consist of income, capital gains or the return of capital. Distributions and current dividend for funds not sponsored by Salomon Smith Barney are based upon information provided by an outside vendor and are not verified by Salomon Smith Barney. ***"Total Value (Tax Based)"*** *is being provided for information purposes only.* ***"ÔFund Performance"****, when shown, is provided to assist you in comparing your* ***total investment****, excluding reinvested distributions, with the* ***current value*** *of the fund's shares in your account.* ***"Fund Performance"*** *does not take into account cash distributions.*

Number of shares	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Yield/Anticipated income (annualized)
1,340.483	ALLIANCE GROWTH & INCOME FUND CLASS B	03/13/01	$ 5,000.00	$ 3.73	$ 3.54	$ 4,745.31	($ 254.69)	ST	
1,340.483	**Total Purchases**		5,000.00	3.73	3.54	4,745.31	(254.69)		
43.589	Reinvestments to date		149.25	3.424	3.54	154.31	5.06	ST	
1,384.072	**Total Value (Tax based)**		5,149.25	3.72		4,899.62	(249.63)		.451 22.14
	Fund Performance		5,000.00			4,899.62			(100.38)Ô
70.136	ALLIANCE TECHNOLOGY FD CL B	03/13/01	5,000.00	71.29	62.39	4,375.79	(624.21)	ST	
70.136	**Total Purchases**		5,000.00	71.29	62.39	4,375.79	(624.21)		
.103	Reinvestments to date		7.01	68.069	62.39	6.43	(.58)	ST	
70.239	**Total Value (Tax based)**		5,007.01	71.285		4,382.22	(624.79)		
	Fund Performance		5,000.00			4,382.22			(617.78)Ô

SALOMON SMITH BARNEY

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Individual Retirement Account

December 1 - December 31, 2001

BARTON JENNINGS GORDON Account number [redacted]

Mutual funds *continued*

Number of shares	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Yield/Anticipated Income (annualized)
87.219	SMITH BARNEY AGGRESSIVE GROWTH FUND CL B	03/13/01	$ 7,500.00	$ 85.99	$ 86.56	$ 7,549.68	$ 49.68	ST	
167.56	SMITH BARNEY SMALL CAP VALUE FUND CLASS B	03/13/01	2,500.00	14.92	16.44	2,754.69	264.69	ST	
167.56	**Total Purchases**		2,500.00	14.92	16.44	2,784.69	284.69		
3.711	Reinvestments to date		58.53	15.772	16.44	61.01	2.48	ST	
171.271	**Total Value (Tax based)**		2,558.53	14.938		2,815.70	257.17		
	Fund Performance		2,500.00			2,815.70			315.70
184.502	SMITH BARNEY FUNDAMENTAL VALUE FUND CL B	03/13/01	2,500.00	13.55	13.28	2,450.19	(49.81)	ST	
184.502	**Total Purchases**		2,500.00	13.55	13.28	2,450.19	(49.81)		
.695	Reinvestments to date		9.08	13.064	13.28	9.23	.15	ST	
185.197	**Total Value (Tax based)**		2,509.08	13.548		2,459.42	(49.66)		
	Fund Performance		2,500.00			2,459.42			(40.58)
130.208	SMITH BARNEY MID CAP CORE FUND CLASS B	03/13/01	2,500.00	19.20	18.66	2,467.44	(32.56)	ST	
500	SMITH BARNEY LARGE CAPITALIZATION GROWTH FD CL B	03/13/01	10,000.00	20.00	19.35	9,675.00	(325.00)	ST	
Total mutual funds (Tax based)			$ 36,223.85			$ 34,249.06	(1,974.79)	ST	.06
							$ 0.00	LT	$ 22.14
Total portfolio value			$ 40,517.56			$ 38,548.01	(1,974.79)	ST	.27
							$ 0.00	LT	$ 106.84

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dated.*

Date	Activity	Description	Quantity	Price	Amount
12/14/01	Reinvest	SMITH BARNEY SMALL CAP VALUE FUND CLASS B	3.552	$ 16.77	$ -58.02
12/14/01	Reinvest	SMITH BARNEY SMALL CAP VALUE FUND CLASS B	.159	16.77	-2.51
12/19/01	Reinvest	ALLIANCE GROWTH & INCOME FUND CLASS B WITHDRAWAL, PENDING REINVEST			-5.38
12/19/01	Reinvest	ALLIANCE GROWTH & INCOME FUND CLASS B WITHDRAWAL, PENDING REINVEST			-127.79

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BARTON JENNINGS GORDON *Account number* [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
12/19/01	Reinvest	ALLIANCE GROWTH & INCOME FUND CLASS B REINVESTMENT SHS FOR 12/19/01 REINVESTED AMOUNT $5.38	1.573	$ 3.42	$ 0.00
12/19/01	Reinvest	ALLIANCE GROWTH & INCOME FUND CLASS B REINVESTMENT SHS FOR 12/19/01 REINVESTED AMOUNT $127.79	37.365	3.42	0.00
12/21/01	Reinvest	SMITH BARNEY FUNDAMENTAL VALUE FUND CL B	.695	13.07	-9.08
Total securities bought and other subtractions					$ -200.78
Total securities sold and other additions					$ 0.00

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
12/21/01	$40 2001 RETIREMENT PLAN FEE WAIVED FOR SELECT CLIENT		0.00				

Earnings details

*The tax status of earnings is reliable to the best of our knowledge. **Taxable and non-taxable designations** refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
12/14/01	SMITH BARNEY SMALL CAP VALUE FUND CLASS B	CASH DIV RECORD 12/12/01 PAY 12/14/01	$ 2.51		$ 2.51
12/19/01	ALLIANCE GROWTH & INCOME FUND CLASS B	CASH DIV ON 1345.1340 SHS	5.38		5.38
Total dividends earned			$ 7.89	$ 0.00	$ 7.89

Bank Deposit Program℠ Interest

This section contains interest credited to your account. Accrued interest is not included. See Portfolio details section for accrued interest information.

Date	Description	Comment	Taxable	Non-taxable	Amount
12/14/01	CITIBANK NA BANK DEPOSIT PROGRAM	REINVESTED FOR PERIOD 11/12/01-12/16/01 35 DAYS AVERAGE YIELD 1.89 %.	$ 9.57		$ 9.57
12/31/01	CITIBANK NA BANK DEPOSIT PROGRAM	REINVESTED FOR PERIOD 12/17/01-01/01/02 16 DAYS AVERAGE YIELD 1.60 %.	3.49		3.49
Total Bank Deposit Program interest earned			$ 13.06	$ 0.00	$ 13.06

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Individual Retirement Account

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BARTON JENNINGS GORDON Account number [redacted]

Capital gains distributions

Date	Description	Comment	Long Term	Short Term	Amount
12/14/01	SMITH BARNEY SMALL CAP VALUE FUND CLASS B	L/T CAP GAIN DISTRIBUTION RECORD 12/12/01 PAY 12/14/01	$ 37.15		$ 37.15
12/14/01	SMITH BARNEY SMALL CAP VALUE FUND CLASS B	S/T CAP GAIN DISTRIBUTION RECORD 12/12/01 PAY 12/14/01		18.87	18.87
12/19/01	ALLIANCE GROWTH & INCOME FUND CLASS B	CAP GNS ON 1345.1340 SHS	127.79		127.79
12/21/01	SMITH BARNEY FUNDAMENTAL VALUE FUND CL B	L/T CAP GAIN DISTRIBUTION RECORD 12/20/01 PAY 12/21/01	9.08		9.08
Total income from capital gains distributions			$ 174.02	$ 18.87	$ 192.89

Information regarding commissions and charges will be made available to you promptly upon request. Please advise us of any material change in your financial objectives or financial situation. All checks written and deposited to your account must be made payable to Salomon Smith Barney Inc.

If you believe your statement is not correct, you must, within ten (10) days, contact either the Manager of the branch servicing your account or Salomon Smith Barney Inc., Attention: Compliance Department, 77 Water Street, 19th Floor, New York, NY 10005.

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SALOMON SMITH BARNEY
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Select Client
FMA PLUS Statement
April 1 - April 30, 2001

Ref: [redacted]

LESLIE P GORDON [redacted]

Stocks *continued*

Common stocks	Exchange	No. of shares	Price	Yield	Anticipated income (annualized)	U.S. Dollar Market value	Research* Rating	Comment
TYCO INTERNATIONAL LTD -NEW-	NYSE	200	$ 53.37	.093%	$ 10.00	[redacted]	1/M	Symbol: TYC\Rated: B +
WILLIAMS COMMUNICATIONS GROUP INC CL A	NYSE	100	4.52			[redacted]	1/S	Symbol: WCG
WORLDCOM INC GA-NEW	OTC	200	18.25			[redacted]	1/M	Symbol: WCOM\Rated: B
Total common stocks					$ 1,781.08	[redacted]		

Preferred stocks	No. of shares	Price	Dividend rate	Anticipated income (annualized)	U.S. Dollar Market value	Comment
TIERS PRINCIPAL PROTECTED ASSET BACKED CTFS TR SR NASDAQ 100 INDEX 2001-8	1,000	$ 10.01			[redacted]	Symbol: NQH
Total preferred stocks				$ 0.00	[redacted]	
Total stocks				$ 1,791.08	[redacted]	

**Please refer to the back of page 1 for definitions of research ratings.*

Options, rights and warrants

Options	Type	Month	Strike	Expiration date	No. of contracts	Price	Market value	Comment
AOL TIME WARNER INC	Long Call	Jan	55.00	01/19/02	2	[redacted]	[redacted]	In cash account
Total options, rights and warrants							[redacted]	

Anticipated annual income

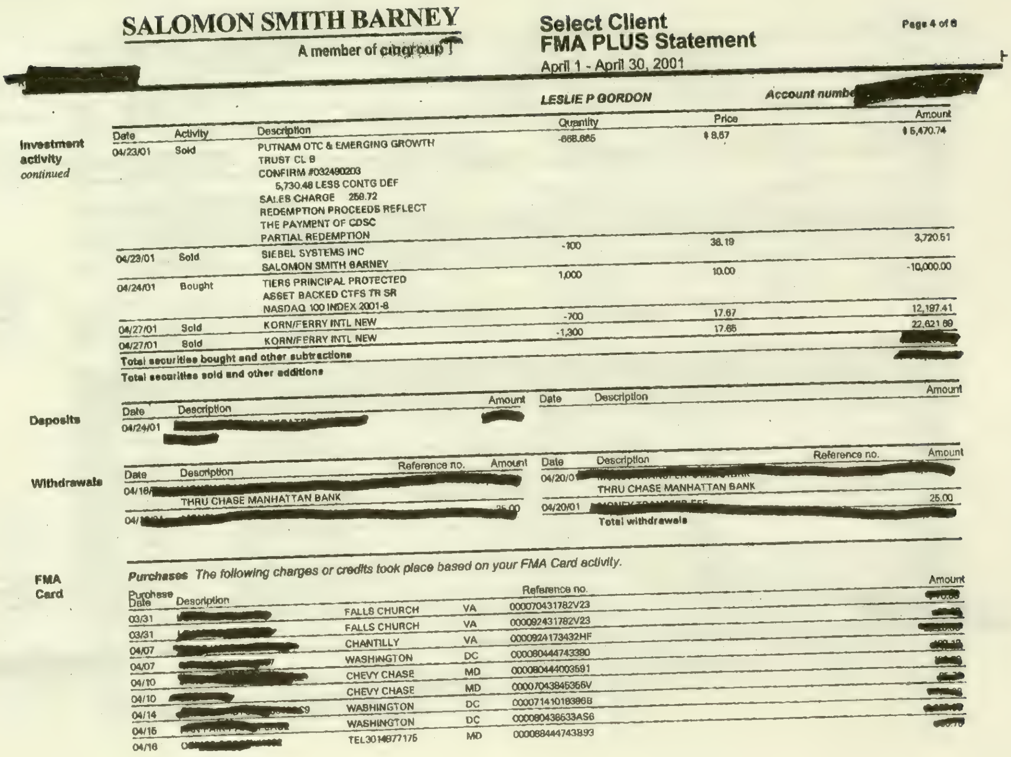
This value is a grand total of all the anticipated annual income amounts that are shown on the statement.

Total anticipated income (annualized)	[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
04/17/01	Bought	NASDAQ 100 TRUST SER 1	241	$ 41.49	$ -10,201.19
04/23/01	Sold	EMC CORP-MASS	-100	38.10	3,711.64
04/23/01	Sold	KORN/FERRY INTL NEW	-3,000	16.707	49,503.44
04/23/01	Sold	KORN/FERRY INTL NEW	-1,000	17.005	16,744.71



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April 1 - April 30, 2001

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LESLIE P GORDON

Account numbe[redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
04/23/01	Sold	PUTNAM OTC & EMERGING GROWTH TRUST CL B CONFIRM #032490203 5,730.46 LESS CONTG DEF SALES CHARGE 259.72 REDEMPTION PROCEEDS REFLECT THE PAYMENT OF CDSC PARTIAL REDEMPTION	-668.665	$ 8.67	$ 5,470.74
04/23/01	Sold	SIEBEL SYSTEMS INC SALOMON SMITH BARNEY	-100	38.19	3,720.51
04/24/01	Bought	TIERS PRINCIPAL PROTECTED ASSET BACKED CTFS TR SR NASDAQ 100 INDEX 2001-8	1,000	10.00	-10,000.00
04/27/01	Sold	KORN/FERRY INTL NEW	-700	17.67	12,197.41
04/27/01	Sold	KORN/FERRY INTL NEW	-1,300	17.65	22,621.69
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					[redacted]

Deposits

Date	Description	Amount	Date	Description	Amount
04/24/01	[redacted]	[redacted]			

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
04/18/[redacted]	[redacted] THRU CHASE MANHATTAN BANK			04/20/0[redacted]	[redacted] THRU CHASE MANHATTAN BANK		
04/[redacted]	[redacted]			04/20/01	[redacted]		25.00
					Total withdrawals		[redacted]

FMA Card

Purchases *The following charges or credits took place based on your FMA Card activity.*

Purchase Date	Description			Reference no.	Amount
03/31	[redacted]	FALLS CHURCH	VA	000070431782V23	[redacted]
03/31	[redacted]	FALLS CHURCH	VA	000092431782V23	[redacted]
04/07	[redacted]	CHANTILLY	VA	0000924173432HF	[redacted]
04/07	[redacted]	WASHINGTON	DC	000080444743390	[redacted]
04/10	[redacted]	CHEVY CHASE	MD	000080444003591	[redacted]
04/10	[redacted]	CHEVY CHASE	MD	00007043845356V	[redacted]
04/14	[redacted]	WASHINGTON	DC	00007141018396B	[redacted]
04/15	[redacted]	WASHINGTON	DC	000080438633AS6	[redacted]
04/16	O[redacted]	TEL3014977175	MD	000088444743893	[redacted]

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Select Client
FMA PLUS Statement
May 1 - May 31, 2001

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LESLIE P GORDON ***Account numbe***[redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
05/09/01	Sold	KORN/FERRY INTL NEW	-500	$ 19.45	$ 9,592.66
05/17/01	Sold	KORN/FERRY INTL NEW	-500	19.37	9,568.43
05/17/01	Sold	KORN/FERRY INTL NEW	-500	19.31	9,538.79
05/17/01	Sold	KORN/FERRY INTL NEW	-500	19.31	9,538.80
05/17/01	Sold	KORN/FERRY INTL NEW	-500	19.25	9,509.16
05/17/01	Sold	KORN/FERRY INTL NEW	-500	10.30	9,528.65
05/18/01	Sold	KORN/FERRY INTL NEW	-500	19.30	9,523.76
05/18/01	Sold	KORN/FERRY INTL NEW	-500	19.28	9,518.84
05/18/01	Sold	KORN/FERRY INTL NEW	-500	19.29	9,518.65
05/18/01	Sold	KORN/FERRY INTL NEW	-500	19.534	9,634.24
05/21/01	Sold	AT&T CORP	-100	21.42	2,067.77
05/21/01	Sold	KORN/FERRY INTL NEW	-596	19.66	11,496.66
05/23/01	Bought	NET2000 COMMUNICATIONS INC	2,000	1.49	-3,114.60
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					[redacted]

Other security activity

Date	Activity	Description	Quantity	Value
05/14/01	Name change	CALL WAN JAN 02 @ 55.00 AOL TIME WARNER INC 100 SHS LEAP ROLLOVER	-2	
05/14/01	Name change	CALL AOO JAN 02 @ 55.00 AOL TIME WARNER INC 100 SHS LEAP ROLLOVER	2	
Net value of securities deposited/withdrawn				$ 0.00

Deposits

Date	Description	Amount	Date	Description	Amount
05/17/01	TO ADJUST BALANCE	26.00			

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
05/07/01	CHECK REORDER CHARGE		9.00	05/18/01	MONEY TRANSFER 05/18/01BRK THRU CHASE MANHATTAN BANK		2,800.00
05/09/01	MONEY TRANSFER 05/09/01BRK THRU CHASE MANHATTAN BANK		2,800.00	05/18/01	$25 MONEY TRANSFER FEE WAIVED		0.00
05/09/01	$25 MONEY TRANSFER FEE WAIVED		0.00		**Total withdrawals**		$ 5,609.00

[redacted]

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June 1 - June 30, 2001

LESLIE P GORDON Account number [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
8	WORLDCOM INC GA NEW MCI GROUP COM SYMBOL: MCIT Research rating:3/M	04/11/00	$ 337.80	$ 42.237	$ 16.10	$ 128.80	($ 209.10)	LT	14.906 % $ 19.20
Total common stocks and options			[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted] [redacted]

Preferred stocks

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
1,000	TIERS PRINCIPAL PROTECTED ASSET BACKED CTFS TR SR NASDAQ 100 INDEX 2001-8 Symbol: NQH	04/11/01	$ 10,000.00	$ 10.00	$ 10.15	$ 10,150.00	$ 150.00	ST	
Total preferred stocks			$ 10,000.00			$ 10,150.00	$ 150.00 $ 0.00	ST LT	[illegible] $ 0.00
Total portfolio value			[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted] [redacted]

**Based on information supplied by client, not verified by Salomon Smith Barney.*

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
06/13/01	Spinoff	WORLDCOM INC GA NEW MCI GROUP COM SPINOFF ON 200 SHS	8		$ 0.00
06/18/01	Bought	KRAFT FOODS INC CLASS A	250	31.00	-7,760.00
06/18/01	Bought	KRAFT FOODS INC CLASS A TRADE AS OF 06/12/01	250	31.00	-7,760.00
06/19/01	Bought	UTS SPDR TRUST SER 1	200	122.89	-24,601.80
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					[redacted]

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
06/04/01	MONEY TRANSFER 06/04/01BRK THRU CHASE MANHATTAN BANK		[redacted]	06/14/01	[redacted]		[redacted]

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FMA PLUS Statement
July 1 - July 31, 2001

[redacted]

LESLIE P GORDON *Account number* [redacted]

Other Investments

Prices shown for managed futures funds are prices as of a date prior to this statement's closing date. See General Partner statement for the final month-end prices for these funds. You will receive a Schedule K-1 each year for use in preparing your annual tax return.

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated income (annualized)
50	SSB AAA ENERGY FUTURES FD LP In cash account				$ 1,000.00	$ 50,000.00		
Total other investments			$0.00			[redacted]	$ 0.00 ST $ 0.00 LT	
Total portfolio value			[redacted]			[redacted]	[redacted]	[redacted]

**Based on information supplied by client, not verified by Salomon Smith Barney.*

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
07/24/01	Bought	SSB AAA ENERGY FUTURES FD LP SUBJ TO CLOSE/ACPT BY SPNSR	50	$ 1,000.00	[redacted]
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					$ 0.00

Other security activity

Date	Activity	Description	Quantity	Value
07/26/01	Adjustment	SSB AAA ENERGY FUTURES FD LP ADJ. MEMO POSITION	-50	
Net value of securities deposited/withdrawn				$ 0.00

Deposits

Date	Description	Amount	Date	Description	Amount
07/13/01	DEPOSIT RECEIVED AT 00378 WASHINGTON, D.C.	[redacted]	07/13/01	DEPOSIT RECEIVED AT 00378 · WASHINGTON, D.C.	[redacted]
				Total deposits	[redacted]

FMA Card

Purchases *The following charges or credits took place based on your FMA Card activity.*

Purchase Date	Description			Reference no.	Amount
06/27	[redacted]	TOPSAIL BEACH	NC	000070460795J3E	[redacted]
06/28	[redacted]	SNEADS FERRY	NC	000081483076L3D	[redacted]
06/30	[redacted]	RICHLANDS	NC	0000234I0196NP8	[redacted]
07/03	[redacted]	[redacted]	DC	000078470826TBN	[redacted]

[redacted]

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FMA PLUS Statement

December 1 - December 31, 2001

LESLIE P GORDON ***Account numb***[redacted]

Bank Deposit Program℠

continued

Principal	Description	Current value	Accrued interest	Annualized % return/Anticipated income (annualized)
[redacted]	CITIBANK NEW YORK STATE BANK DEPOSIT PROGRAM	[redacted]	$ 4.06	1.60 % [redacted]
[redacted]	TRAVELERS BANK & TRUST	[redacted]	$ 4.08	1.60 % [redacted]
[redacted]	CITIBANK NA SOUTH DAKOTA BANK DEPOSIT PROGRAM	[redacted]	$ 2.96	1.60 % [redacted]
Total Bank Deposit Program		[redacted]	[illegible]	[redacted]

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
100	BANK OF AMERICA CORP SYMBOL: BAC/RATING: A- Research rating:1/M	10/19/00	[redacted]	[redacted]	$ 62.95	[redacted]	[redacted] LT	[redacted]
300	CISCO SYS INC SYMBOL: CSCO/RATING: B + Research rating:1/H	03/20/99	[redacted]	[redacted]	18.11	[redacted]	[redacted] LT	
133	CITIGROUP INC SYMBOL: C/RATING: A	12/29/99	[redacted]	[redacted]	50.48	[redacted]	[redacted] LT	[redacted]
150	FLEETBOSTON FINANCIAL CORP SYMBOL: FBF/RATING: A- Research rating:1/M	10/19/00	[redacted]	[redacted]	36.50	[redacted]	[redacted] LT	[redacted]
100	GOLDMAN SACHS GROUP INC SYMBOL: GS Research rating:1/H	08/08/99	[redacted]	[redacted]	92.75	[redacted]	[redacted] LT	[redacted]
150	HOME DEPOT INC SYMBOL: HD/RATING: A + Research rating:1/M	03/29/99	[redacted]	[redacted]	51.01	[redacted]	[redacted] LT	[redacted]
180	INTEL CORP SYMBOL: INTC/RATING: A Research rating:1/M	06/21/99	[redacted]	[redacted]	31.45	[redacted]	[redacted] LT	[redacted]
100	INTL BUSINESS MACHINES CORP SYMBOL: IBM/RATING: B Research rating:1/M	12/29/99	[redacted]	[redacted]	120.06	[redacted]	[redacted] LT	[redacted]
370	JP MORGAN CHASE & CO SYMBOL: JPM/RATING: B + Research rating:1/M	10/16/99	[redacted]	[redacted]	36.35	[redacted]	[redacted] LT	[redacted]
200	KEYCORP -NEW SYMBOL: KEY/RATING: A + Research rating:3/M	10/19/00	[redacted]	[redacted]	24.34	[redacted]	[redacted] LT	[redacted]

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FMA PLUS Statement

December 1 - December 31, 2001

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LESLIE P GORDON *Account numbe*[redacted]

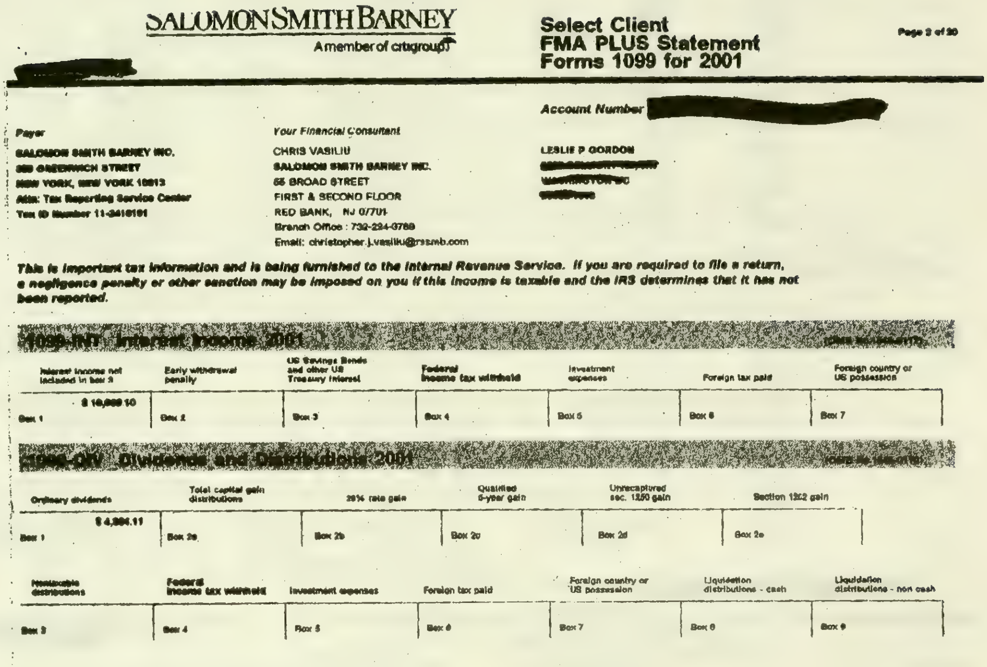
Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
250	KRAFT FOODS INC CLASS A	08/12/01	[redacted]	[redacted]	$ 34.03	[redacted]	[redacted] ST	
250	SYMBOL: KFT	08/12/01	[redacted]	[redacted]	34.03	[redacted]	[redacted] ST	
500	Research rating:1/M		[redacted]	[redacted]		[redacted]	[redacted]	1.528 260.00
400	LIBERTY MEDIA CORP A SYMBOL: LMCA Research rating:1/M	04/19/99	[redacted]	[redacted]	14.00	[redacted]	[redacted] LT	
14	MCDATA CORP CLASS A SYMBOL: MCDTA	03/29/99	[redacted]	[redacted]	24.50	[redacted]	[redacted] LT	
150	PFIZER INC SYMBOL: PFE/RATING: A+ Research rating:1/L	08/06/99	[redacted]	[redacted]	39.85	[redacted]	[redacted] LT	1.304 78.00
50	PROCTER & GAMBLE CO SYMBOL: PG/RATING: A Research rating:1/M	06/04/99	[redacted]	[redacted]	79.13	[redacted]	[redacted] LT	1.92 76.00
200	TYCO INTERNATIONAL LTD -NEW- SYMBOL: TYC/RATING: B Research rating:1/M	04/19/99	[redacted]	[redacted]	58.90	[redacted]	[redacted] LT	.084 10.00
200	WACHOVIA CORP 2ND NEW SYMBOL: WB/RATING: A- Research rating:3/M	10/19/00	[redacted]	[redacted]	31.38	[redacted]	[redacted] LT	3.061 192.00
Total common stocks and options			[redacted]			[redacted]	[redacted] ST [redacted] LT	[redacted] [redacted]

Closed end funds

Closed end investment companies are grouped below by Salomon Smith Barney portfolio designations. Gain/Loss is provided to assist in tax preparation. It is not intended to calculate investment returns or performance.

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
241	NASDAQ 100 TRUST SER 1 SYMBOL: QQQ Equity portfolio	04/11/01	[redacted]	[redacted]	$ 38.91	[redacted]	[redacted]	
200	UTS SPDR TRUST SER 1 SYMBOL: SPY Equity portfolio	08/14/01	[redacted]	[redacted]	114.30	[redacted]	[redacted]	[redacted]
Total closed end fund equity allocation						[redacted]		
Total closed end funds			[redacted]			[redacted]	[redacted] ST [redacted] LT	[redacted]



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SALOMON SMITH BARNEY
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Select Client
FMA PLUS Statement
Forms 1099 for 2001

Page 2 of 20

Account Number [redacted]

Payer
SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
Tax ID Number 11-2418191

Your Financial Consultant
CHRIS VASILIU
SALOMON SMITH BARNEY INC.
65 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3769
Email: christopher.j.vasiliu@ssmb.com

LESLIE P GORDON
[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-INT Interest Income 2001 [illegible]

Interest income not included in box 3	Early withdrawal penalty	US Savings Bonds and other US Treasury interest	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession
$ 10,969.10 Box 1	Box 2	Box 3	Box 4	Box 5	Box 6	Box 7

1099-DIV Dividends and Distributions 2001 [illegible]

Ordinary dividends	Total capital gain distributions	28% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
$ 4,394.11 Box 1	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
Box 3	Box 4	Box 5	Box 6	Box 7	Box 8	Box 9

[redacted]

SALOMON SMITH BARNEY

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Select Client
FMA PLUS Statement
Forms 1099 for 2001

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LESLIE P GORDON

Account Number [redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
Tax ID Number 11-2418191

Your Financial Consultant

CHRIS VASILIU
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3769
Email: christopher.j.vasiliu@rssmb.com

LESLIE P GORDON
2527 BELMONT RD, NW
WASHINGTON DC
20009-1613

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001

(OMB# 1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000200	12/19/01	00130H105000	200	AES CORP	[redacted]	[redacted]	
120000400	05/18/01	001957109000	100	AT&T CORP	[redacted]	[redacted]	
120000600	04/18/01	268648102000	100	EMC CORP-MASS	[redacted]	[redacted]	
120000700	12/19/01	268648102000	300	EMC CORP-MASS	[redacted]	[redacted]	
120000800	12/19/01	293561106000	100	ENRON CORP	[redacted]	[redacted]	
120000900	02/27/01	500643200000	1,200	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001000	02/27/01	500643200000	800	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001100	03/01/01	500643200000	2,500	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001200	03/08/01	500643200000	500	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001300	03/08/01	500643200000	3,600	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001400	04/16/01	500643200000	3,000	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001500	04/18/01	500643200000	1,000	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001600	04/24/01	500643200000	700	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001700	04/24/01	500643200000	1,300	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001800	04/27/01	500643200000	500	KORN/FERRY INTL NEW	[redacted]	[redacted]	
120001900	04/27/01	500643200000	1,000	KORN/FERRY INTL NEW	[redacted]	[redacted]	

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SALOMONSMITHBARNEY
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Select Client
FMA PLUS Statement
Forms 1099 for 2001

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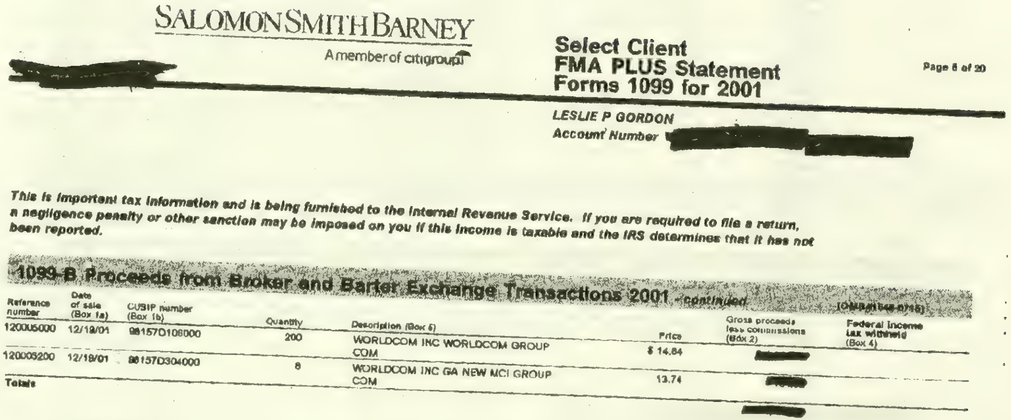
LESLIE P GORDON
Account Number [redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 *- continued* ([illegible])

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120002000	05/02/01	500643200000	500	KORN/FERRY INTL NEW	$ 19.25	[redacted]	
120002100	05/04/01	500643200000	500	KORN/FERRY INTL NEW	19.10	[redacted]	
120002200	05/04/01	500643200000	500	KORN/FERRY INTL NEW	19.30	[redacted]	
120002300	05/04/01	500643200000	500	KORN/FERRY INTL NEW	19.43	[redacted]	
120002400	05/04/01	500643200000	500	KORN/FERRY INTL NEW	19.45	[redacted]	
120002500	05/14/01	500643200000	500	KORN/FERRY INTL NEW	19.37	[redacted]	
120002600	05/14/01	500643200000	500	KORN/FERRY INTL NEW	19.31	[redacted]	
120002700	05/14/01	500643200000	500	KORN/FERRY INTL NEW	19.31	[redacted]	
120002800	05/14/01	500643200000	500	KORN/FERRY INTL NEW	19.25	[redacted]	
120002900	05/14/01	500643200000	500	KORN/FERRY INTL NEW	19.30	[redacted]	
120003000	05/15/01	500643200000	500	KORN/FERRY INTL NEW	19.30	[redacted]	
120003100	05/15/01	500643200000	500	KORN/FERRY INTL NEW	19.29	[redacted]	
120003200	05/15/01	500643200000	500	KORN/FERRY INTL NEW	19.20	[redacted]	
120003300	05/15/01	500643200000	500	KORN/FERRY INTL NEW	19.534	[redacted]	
120003400	05/16/01	500643200000	598	KORN/FERRY INTL NEW	19.65	[redacted]	
120003800	02/13/01	580031201000		MCDATA CORP CLASS A		[redacted]	
120004300	12/19/01	64122G103000	2,000	NET2000 COMMUNICATIONS INC	.005	[redacted]	
120004400	04/18/01	746847201000	666.685	PUTNAM OTC & EMERGING GROWTH TRUST CL B	8.57	[redacted]	
120004700	04/18/01	826170102000	100	SIEBEL SYSTEMS INC	38.19	[redacted]	
120004800	12/18/01	826170102000	100	SIEBEL SYSTEMS INC	29.95	[redacted]	
120004900	12/18/01	969455104000	100	WILLIAMS COMMUNICATIONS GROUP INC CL A	2.00	[redacted]	



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SALOMON SMITH BARNEY
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Select Client
FMA PLUS Statement
Forms 1099 for 2001

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LESLIE P GORDON
Account Number [redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 *- continued* (OMB No. 1545-0715)

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120005000	12/19/01	98157D106000	200	WORLDCOM INC WORLDCOM GROUP COM	$ 14.84	[redacted]	
120005200	12/19/01	98157D304000	8	WORLDCOM INC GA NEW MCI GROUP COM	13.74	[redacted]	
Totals						[redacted]	

[redacted]

SALOMON SMITH BARNEY
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Select Client
FMA PLUS Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted] [redacted]

Details of 1099 Reported Interest Income 2001

The following details show how we derived your total interest reported on Form 1099-INT. Amounts in Box 1 and Box 3 include any taxable accrued interest received.

Reference number	Description	Interest income not included in box 3 (Box 1)	Early withdrawal penalty (Box 2)	US Savings Bonds and other US Treasury interest (Box 3)	Federal income tax withheld (Box 4)	Investment expenses (Box 5)	Foreign tax paid (Box 6)
130000100	ESCROW INTEREST	$ 29.70					
130000200	CITIBANK NEVADA BANK DEPOSIT PROGRAM	1,294.51					
130000300	CITIBANK NEW YORK STATE BANK DEPOSIT PROGRAM	1,632.03					
130000400	CITIBANK FSB BANK DEPOSIT PROGRAM	2,240.76					
130000500	CITIBANK NA BANK DEPOSIT PROGRAM	2,310.42					
130000600	CITIBANK NA SOUTH DAKOTA BANK DEPOSIT PROGRAM	2,008.32					
130000700	CITIBANK DELAWARE BANK DEPOSIT PROGRAM	1.28					
130000800	TRAVELERS BANK & TRUST	1,152.11					
Totals in Boxes 1-6		$ 10,669.10					

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	AT&T CORP	$ 7.50						
150000200	BANK OF AMERICA CORP	228.00						
150000300	CITIGROUP INC	79.80						
150000400	ENRON CORP	37.50						
150000500	FIRST UNION CORP	98.00						

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
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Ref [redacted]

Select Client
FMA PLUS Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e *continued*

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000600	FLEETBOSTON FINANCIAL CORP	$ 198.00						
150000700	GOLDMAN SACHS GROUP INC	48.00						
150000800	HOME DEPOT INC	25.50						
150000900	INTEL CORP	14.40						
150001000	INTL BUSINESS MACHINES CORP	55.00						
150001100	JP MORGAN CHASE & CO	495.80						
150001200	KEYCORP -NEW	236.00						
150001300	KRAFT FOODS INC CLASS A	65.00						
150001400	PFIZER INC	66.00						
150001500	PROCTER & GAMBLE CO	73.00						
150001600	UTS SPDR TRUST SER 1 $78.55 OF THIS INCOME WAS CR TO YOUR ACCT IN 2002	221.64						
150001700	SB MONEY FUNDS CASH PORT CL A	2,836.17						
150001800	*** TYCO INTERNATIONAL LTD -NEW-	10.00						
150001900	WACHOVIA CORP 2ND NEW	96.00						
150002000	WORLDCOM INC GA NEW MCI GROUP COM	4.80						
Totals		$ 4,894.11						

** The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.*

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125003400	2,000	NET2000 COMMUNICATIONS INC	05/18/01	12/19/01	[redacted]	[redacted]	[redacted]	

2001
YEAR
END
SUMMARY

SALOMON SMITH BARNEY
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[redacted]

Client Statement

January 1 - January 31, 2001

H

LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
40	TEXAS INSTRUMENTS INC	07/21/00	[redacted]	$ 62.813	$ 43.80	[redacted]	[redacted]	
70	SYMBOL: TXN/RATING: B	10/27/00	[redacted]	44.654	43.80	[redacted]	[redacted]	
25		11/30/00	[redacted]	37.534	43.80	[redacted]	[redacted]	
185			[redacted]	48.718		[redacted]	[redacted]	.184 11.48
20	TYCO INTERNATIONAL LTD	07/19/00	[redacted]	61.28	61.60	[redacted]	[redacted] ST	
20	-NEW-	10/09/00	[redacted]	61.724	61.60	[redacted]	[redacted] ST	
40	SYMBOL: TYC/RATING: B+		[redacted]	61.467		[redacted]	[redacted]	.081 2.00
55	WELLS FARGO & CO NEW	07/24/00	[redacted]	42.118	51.51	[redacted]	[redacted] ST	
55	SYMBOL: WFC/RATING: A	11/28/00	[redacted]	46.602	51.51	[redacted]	[redacted] ST	
110			[redacted]	43.861		[redacted]	[redacted]	1.863 105.60
Total common stocks and options			[redacted]			[redacted]	[redacted] ST [redacted] LT	[illegible] $ 932.77
Total portfolio value			[redacted]			[redacted]	[redacted] ST [illegible] LT	[illegible] $ 1,973.[illegible]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
01/02/01	Bought	WALT DISNEY CO FOR TAX PURPOSES, THIS TRANSACTION IS REPORTABLE IN 2000	20	$ 27.726	$ -554.52
01/10/01	Bought	AMER INTERNATIONAL GROUP INC	30	89.773	-2,663.21
01/18/01	Merger	AOL TIME WARNER INC	60		0.00
01/18/01	Merger	AMERICA ONLINE INC DEL	-60		0.00
01/24/01	Bought	EXXON MOBIL CORP	25	79.08	-1,977.02
Total securities bought and other subtractions					$ -5,194.75
Total securities sold and other additions					$ 0.00

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
01/19/01	INVESTMENT & ADVISORY SERVICES FROM 01/01/01 TO 03/31/01		[redacted]				

SALOMON SMITH BARNEY

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[redacted]

Client Statement

February 1 - February 28, 2001

Page 5 of 6

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
40	TEXAS INSTRUMENTS INC	07/21/00	$ [redacted]	$ 62.913	$ 29.65	[redacted]	[redacted]	ST	
70	SYMBOL: TXN/RATING: B +	10/27/00	[redacted]	44.654	29.65	[redacted]	[redacted]	ST	
26		11/30/00	[redacted]	37.534	29.65	[redacted]	[redacted]	ST	
136			[redacted]	48.716		[redacted]	[redacted]		.287
									11.48
20	TYCO INTERNATIONAL LTD	07/19/00	[redacted]	51.25	54.65	[redacted]	[redacted]	ST	
20	-NEW-	10/09/00	[redacted]	51.724	54.65	[redacted]	[redacted]	ST	
40	SYMBOL: TYC/RATING: B +		[redacted]	51.487		[redacted]	[redacted]		.091
									2.00
55	WELLS FARGO & CO NEW	07/24/00	[redacted]	42.118	49.64	[redacted]	[redacted]	ST	
55	SYMBOL: WFC/RATING: A	11/28/00	[redacted]	45.602	49.64	[redacted]	[redacted]	ST	
110			[redacted]	43.861		[redacted]	[redacted]		1.939
									106.60
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	1.05
							[redacted]	LT	$ 930.31
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	1.09
							[redacted]	LT	$ [illegible]

Investment activity

Transaction details

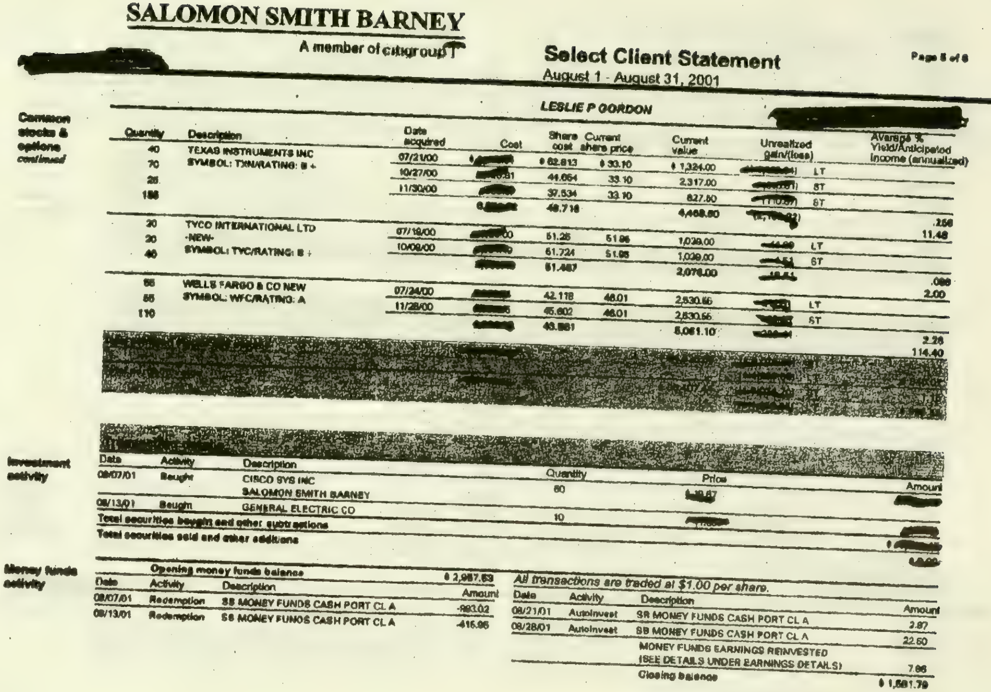
Date	Activity	Description	Quantity	Price	Amount
02/06/01	Bought	CISCO SYS INC SALOMON SMITH BARNEY	30	$ 38.167	[redacted]
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					[redacted]

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	[redacted]
02/06/01	Redemption	SB MONEY FUNDS CASH PORT CL A	[redacted]
02/13/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	[redacted]

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
02/27/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	[redacted]
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	[redacted]
		Closing balance	$ [redacted]



SALOMON SMITH BARNEY

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[redacted]

Select Client Statement

August 1 - August 31, 2001

Page 5 of 6

LESLIE P GORDON

[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
40	TEXAS INSTRUMENTS INC	07/21/00	[redacted]	$ 62.813	$ 33.10	$ 1,324.00	[redacted]	LT	
70	SYMBOL: TXN/RATING: B +	10/27/00	[redacted]	44.664	33.10	2,317.00	[redacted]	ST	
25		11/30/00	[redacted]	37.534	33.10	827.50	[redacted]	ST	
135			[redacted]	46.718		4,468.50	[redacted]		.258 11.48
20	TYCO INTERNATIONAL LTD	07/19/00	[redacted]	51.25	51.95	1,039.00	[redacted]	LT	
20	-NEW-	10/09/00	[redacted]	51.724	51.95	1,039.00	[redacted]	ST	
40	SYMBOL: TYC/RATING: B +		[redacted]	51.487		2,078.00	[redacted]		.096 2.00
55	WELLS FARGO & CO NEW	07/24/00	[redacted]	42.118	46.01	2,530.55	[redacted]	LT	
55	SYMBOL: WFC/RATING: A	11/28/00	[redacted]	45.602	46.01	2,530.55	[redacted]	ST	
110			[redacted]	43.861		5,061.10	[redacted]		2.26 114.40

[redacted]

[redacted]

Investment activity

Date	Activity	Description	Quantity	Price	Amount
08/07/01	Bought	CISCO SYS INC SALOMON SMITH BARNEY	60	[redacted]	[redacted]
08/13/01	Bought	GENERAL ELECTRIC CO	10	[redacted]	[redacted]
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					[redacted]

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 2,957.53
08/07/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-993.02
08/13/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-415.95

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
08/21/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	2.87
08/28/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	22.50
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	7.86
		Closing balance	$ 1,581.79

[redacted]

SALOMON SMITH BARNEY

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Select Client Statement

September 1 - September 30, 2001

LESLIE P GORDON ***Accou*** [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
25	TEXAS INSTRUMENTS INC	11/30/00	$ 938.37	$ 37.634	$ 24.98	$ 624.50	($ 313.87)	ST	
135	SYMBOL: TXN/RATING: B +		6,576.72	48.716		3,372.30	(3,204.42)		.34 11.48
20	TYCO INTERNATIONAL LTD	07/19/00	1,025.00	51.25	45.50	910.00	(115.00)	LT	
20	-NEW-	10/09/00	1,034.49	51.724	45.50	910.00	(124.49)	ST	
40	SYMBOL: TYC/RATING: B +		2,059.49	51.487		1,820.00	(239.49)		.109 2.00
55	WELLS FARGO & CO NEW	07/24/00	2,316.54	42.118	44.45	2,444.75	128.21	LT	
55	SYMBOL: WFC/RATING: A	11/28/00	2,508.15	45.602	44.45	2,444.75	(63.40)	ST	
110			4,824.69	43.861		4,889.50	64.81		2.339 [redacted]
Total common stocks and options			[redacted]			[redacted]	[redacted]		[redacted]
Total portfolio value			[redacted]			[redacted]	[redacted]		[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
09/26/01	Bought	WALT DISNEY CO	30	$ 17.626	$ -528.80
09/26/01	Sold	MCDONALDS CORP	-100	26.602	2,660.18
Total securities bought and other subtractions					$ -528.80
Total securities sold and other additions					$ 2,060.18

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 1,581.79
09/06/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	32.20
09/06/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	26.00
09/11/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	23.00
09/12/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	3.60

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
09/14/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	4.00
09/17/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	2.31
09/21/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	2.50
09/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-523.80
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.83
		Closing balance	[redacted]

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Select Client Statement

October 1 - October 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
25	TEXAS INSTRUMENTS INC	11/30/00	$ 938.37	$ 37.534	$ 27.99	$ 699.75	($ 238.62)	ST	
135	SYMBOL: TXN/RATING: B +		**6,576.72**	**48.716**		**3,778.65**	**(2,798.07)**		.303 11.48
20	TYCO INTERNATIONAL LTD	07/19/00	1,025.00	51.25	49.14	982.80	(42.20)	LT	
20	-NEW-	10/09/00	1,034.49	51.724	49.14	982.80	(51.69)	LT	
40	SYMBOL: TYC/RATING: B		**2,060.49**	**51.487**		**1,965.60**	**(93.89)**		.101 2.00
55	WELLS FARGO & CO NEW	07/24/00	2,318.64	42.118	39.50	2,172.50	(144.04)	LT	
55	SYMBOL: WFC/RATING: A	11/28/00	2,508.16	46.602	39.50	2,172.50	(336.66)	ST	
110			**4,824.69**	**49.881**		**4,345.00**	**(479.69)**		2.632 114.40
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	[redacted]
							[redacted]	LT	[redacted]
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	[redacted]
							[redacted]	LT	[redacted]

Transaction details

Investment activity

Date	Activity	Description	Quantity	Price	Amount
10/11/01	Bought	AMERICAN EXPRESS CO	85	$ 27.314	[redacted]
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					$ 0.00

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
10/19/01	INVESTMENT & ADVISORY SERVICES FROM 10/01/01 TO 12/31/01		448.46				

Money funds activity

	Opening money funds balance		$ 1,161.43
Date	Activity	Description	Amount
10/01/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	2,670.33
10/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	63.80
10/11/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-2,321.72

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
10/16/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	16.50
10/19/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-448.46
10/26/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	13.80
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.97
		Closing balance	**$ 1,160.36**

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SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

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H

LESLIE P GORDON *Account number* [redacted]

[illegible]		
Opening balance	[redacted]	
Withdrawals	0.00	-2,000.67
Dividends credited	146.06	
Money funds earnings reinvested	10.72	
Closing balance	[redacted]	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary		
Opening value of securities	[redacted]	[redacted]
+ Opening cash balance	0.00	0.00
= Opening portfolio balance	[redacted]	[redacted]
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	0.00	[redacted]
Adjusted opening value	[redacted]	[redacted]
Closing value of securities	[redacted]	[redacted]
+ Closing cash balance	0.00	0.00
= Closing portfolio value	[redacted]	[redacted]

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account℠ transfers.

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.
Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated income (annualized)
4,804.82	SB MONEY FUNDS CASH PORT CL A	$ 4,804.82		1.55 % $ 69.82

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated income (annualized)
20	AOL TIME WARNER INC	07/18/00	$ 1,168.80	[redacted]	$ 32.10	$ 642.00	[redacted] LT	
10	SYMBOL: AOL/RATING: B	08/08/00	636.88	[redacted]	32.10	321.00	[redacted] LT	
20		08/08/00	1,138.08	[redacted]	32.10	642.00	[redacted] LT	

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON **Account n**[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
10	AOL TIME WARNER INC SYMBOL: AOL/RATING: B	10/31/00	$ 498.47	[redacted]	$ 32.10	$ 321.00	[redacted] LT	
60			3,363.21	[redacted]		1,926.00	[redacted]	
85	AMERICAN EXPRESS CO SYMBOL: AXP/RATING: A-	10/09/01	2,321.72	[redacted]	35.69	3,033.65	[redacted] ST	.906 27.20
[illegible]	AMER INTERNATIONAL GROUP INC SYMBOL: AIG/RATING: A +	08/02/00	2,145.38	[redacted]	79.40	1,985.00	[redacted] LT	
30		01/08/01	2,763.21	[redacted]	79.40	2,382.00	[redacted] ST	
55			4,908.59	[redacted]		4,367.00	[redacted]	.211 9.24
35	AMGEN INC SYMBOL: AMGN/RATING: B +	07/27/00	2,442.73	[redacted]	56.44	1,975.40	[redacted] LT	
30		09/05/00	2,214.38	[redacted]	56.44	1,693.20	[redacted] LT	
15		10/04/00	972.65	[redacted]	56.44	846.60	[redacted] LT	
80			5,629.76	[redacted]		4,515.20	[redacted]	
45	BANK ONE CORP COM SYMBOL: ONE/RATING: A-	07/25/00	1,475.52	[redacted]	39.05	1,757.25	[redacted] LT	
40		09/05/00	1,370.00	[redacted]	39.05	1,562.00	[redacted] LT	
50		09/12/00	1,902.10	[redacted]	39.05	1,952.50	[redacted] LT	
135			4,747.62	[redacted]		5,271.75	[redacted]	2.161 113.40
50	CISCO SYS INC SYMBOL: CSCO/RATING: B +	11/03/00	2,817.63	[redacted]	18.11	905.50	[redacted] LT	
30		02/01/01	1,145.63	[redacted]	18.11	543.30	[redacted] ST	
50		08/02/01	893.52	[redacted]	18.11	905.50	[redacted] ST	
130			4,856.78	[redacted]		2,354.30	[redacted]	
90	COCA-COLA CO SYMBOL: KO/RATING: A-	09/11/00	4,825.98	[redacted]	47.15	4,243.50	[redacted] LT	1.527 64.80
50	WALT DISNEY CO SYMBOL: DIS/RATING: B	07/25/00	1,875.08	[redacted]	20.72	1,036.00	[redacted] LT	
75		11/10/00	2,375.08	[redacted]	20.72	1,554.00	[redacted] LT	
20		12/27/00	554.52	[redacted]	20.72	414.40	[redacted] LT	
30		09/21/01	528.80	[redacted]	20.72	621.60	[redacted] ST	
175			5,333.48	[redacted]		3,626.00	[redacted]	1.013 36.75
50	EXXON MOBIL CORP SYMBOL: XOM/RATING: A-	07/19/00	1,959.60	[redacted]	39.30	1,965.00	[redacted] LT	
50		01/19/01	1,977.02	[redacted]	39.30	1,965.00	[redacted] ST	
100			3,936.62	[redacted]		3,930.00	[redacted]	2.34 92.00
40	FEDERAL NATIONAL MORTGAGE ASSN SYMBOL: FNM/RATING: A +	09/06/00	2,124.64	[redacted]	79.50	3,180.00	[redacted] LT	1.509 48.00

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON Accou[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
15	GENERAL ELECTRIC CO	07/28/00	[redacted]	[redacted]	$ 40.08	$ 601.20	[redacted]	LT	
60	SYMBOL: GE/RATING: A +	10/24/00	[redacted]	[redacted]	40.08	2,404.80	[redacted]	LT	
10		08/08/01	[redacted]	[redacted]	40.08	400.80	[redacted]	ST	
85			[redacted]	[redacted]		3,406.80	[redacted]		1.796 61.20
80	GILLETTE CO	08/01/00	[redacted]	[redacted]	33.40	2,672.00	[redacted]	LT	
80	SYMBOL: G/RATING: A-	09/06/00	[redacted]	[redacted]	33.40	2,672.00	[redacted]	LT	
160			[redacted]	[redacted]		5,344.00	[redacted]		1.946 104.00
35	HOME DEPOT INC	07/24/00	[redacted]	[redacted]	51.01	1,785.35	[redacted]	LT	
50	SYMBOL: HD/RATING: A +	09/05/00	[redacted]	[redacted]	51.01	2,550.50	[redacted]	LT	
15		11/14/00	[redacted]	[redacted]	51.01	765.15	[redacted]	LT	
100			[redacted]	[redacted]		5,101.00	[redacted]		.392 20.00
25	HOUSEHOLD INTERNATIONAL INC	08/01/00	[redacted]	[redacted]	57.94	1,448.50	[redacted]	LT	
50	SYMBOL: HI/RATING: A	09/06/00	[redacted]	[redacted]	57.94	2,897.00	[redacted]	LT	
75			[redacted]	[redacted]		4,345.50	[redacted]		1.518 66.00
40	INTEL CORP	08/01/00	[redacted]	[redacted]	31.45	1,258.00	[redacted]	LT	
80	SYMBOL: INTC/RATING: A	09/22/00	[redacted]	[redacted]	31.45	2,516.00	[redacted]	LT	
30		11/17/00	[redacted]	[redacted]	31.45	943.50	[redacted]	LT	
30		12/11/00	[redacted]	[redacted]	31.45	943.50	[redacted]	LT	
180			[redacted]	[redacted]		5,661.00	[redacted]		.254 14.40
20	JOHNSON & JOHNSON SYMBOL: JNJ/RATING: A +	07/18/00	[redacted]	[redacted]	59.10	1,182.00	[redacted]	LT	1.218 14.40
25	MERCK & CO INC	07/31/00	[redacted]	[redacted]	58.80	1,470.00	[redacted]	LT	
30	SYMBOL: MRK/RATING: A +	09/06/00	[redacted]	[redacted]	58.80	1,764.00	[redacted]	LT	
55			[redacted]	[redacted]		3,234.00	[redacted]		2.38 77.00
20	MICROSOFT CORP	07/19/00	[redacted]	[redacted]	66.25	1,325.00	[redacted]	LT	
20	SYMBOL: MSFT/RATING: B +	08/05/00	[redacted]	[redacted]	66.25	1,325.00	[redacted]	LT	
10		09/19/00	[redacted]	[redacted]	66.25	662.50	[redacted]	LT	
50			[redacted]	[redacted]		3,312.50	[redacted]		

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON **Account** [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
30	PEPSICO INC	08/16/00	$ 1,317.25	$ 43.908	$ 48.69	$ 1,460.70	$ 143.45	LT	
40	SYMBOL: PEP/RATING: A	10/06/00	1,856.03	46.40	48.69	1,947.60	91.57	LT	
70			**3,173.28**	**46.333**		**3,408.30**	**235.02**		1.191 40.60
40	TEXAS INSTRUMENTS INC	07/21/00	2,512.54	62.813	28.00	1,120.00	(1,392.54)	LT	
70	SYMBOL: TXN/RATING: B +	10/27/00	3,125.81	44.654	28.00	1,960.00	(1,165.81)	LT	
25		11/30/00	938.37	37.534	28.00	700.00	(238.37)	LT	
135			**6,576.72**	**48.716**		**3,780.00**	**(2,796.72)**		.303 11.48
20	TYCO INTERNATIONAL LTD	07/19/00	1,025.00	51.25	58.90	1,178.00	153.00	LT	
20	-NEW-	10/09/00	1,034.49	51.724	58.90	1,178.00	143.51	LT	
40	SYMBOL: TYC/RATING: B		**2,059.49**	**51.487**		**2,356.00**	**296.51**		.084 2.00
55	WELLS FARGO & CO NEW	07/24/00	2,316.54	42.118	43.47	2,390.85	74.31	LT	
55	SYMBOL: WFC/RATING: A	11/28/00	2,508.15	45.602	43.47	2,390.85	(117.30)	LT	
110			**4,824.69**	**43.861**		**4,781.70**	**(42.99)**		2.392 114.40
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	1.17
							[redacted]	LT	$ 816.87
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	1.16
							[redacted]		[redacted]

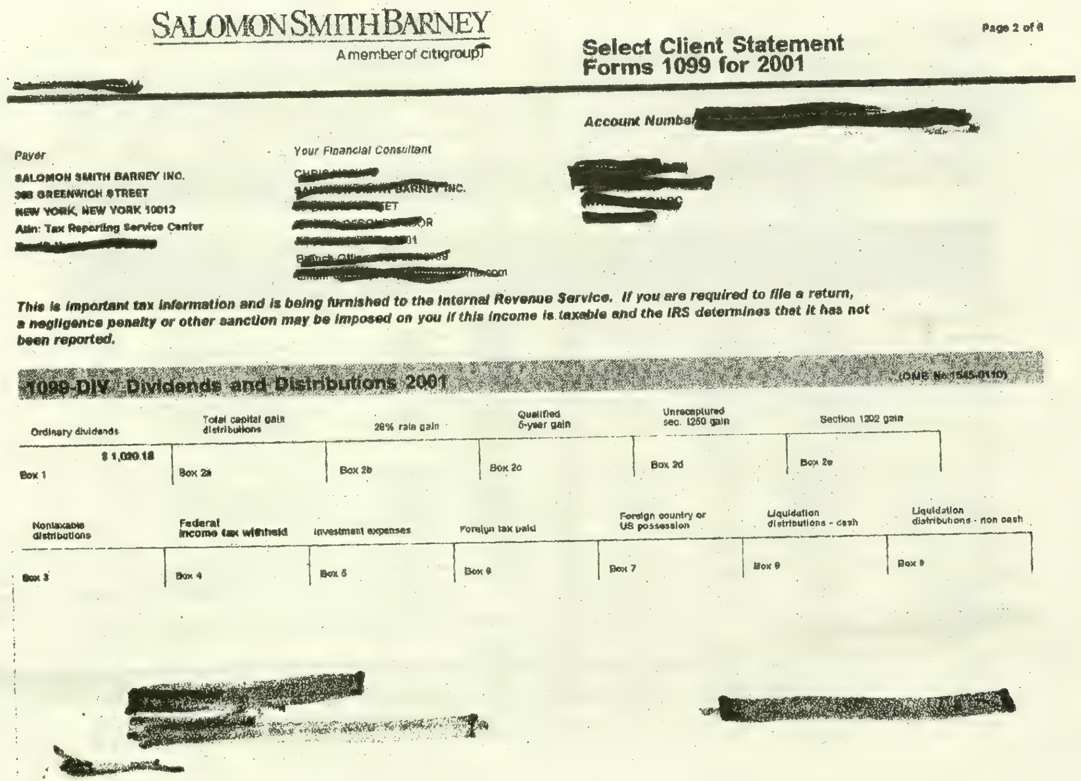
Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	**$ 4,349.04**
12/04/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	32.20
12/06/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	26.00
12/11/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	23.00
12/12/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	3.60

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/14/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	5.00
12/18/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	16.20
12/24/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	39.06
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	10.72
		Closing balance	**$ 4,504.82**



SALOMON SMITH BARNEY
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Select Client Statement
Forms 1099 for 2001

[redacted]

Account Number [redacted]

Payer
SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant
[redacted]

[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-DIV Dividends and Distributions 2001 (OMB No 1545-0110)

Ordinary dividends	Total capital gain distributions	28% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
Box 1 $ 1,020.18	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
Box 3	Box 4	Box 5	Box 6	Box 7	Box 8	Box 9

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[redacted]

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SALOMON SMITH BARNEY
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Ref [redacted]

Select Client Statement
Forms 1099 for 2001

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LESLIE P GORDON
Account Number [redacted]

[redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

CHRIS VASILIU
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3780
Email: christopher.j.vasiliu@rssmb.com

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 (OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000800	10/29/01	293561106000	20	ENRON CORP	$ 13.987	$ 279.74	
120001100	11/02/01	313586109000	35	FEDERAL NATIONAL MORTGAGE ASSN	82.583	2,890.33	
120001300	04/18/01	441815107000	10	HOUSEHOLD INTERNATIONAL INC	60.57	605.69	
120001400	05/16/01	441815107000	20	HOUSEHOLD INTERNATIONAL INC	68.266	1,365.29	
120001600	05/15/01	549463107000	25	LUCENT TECHNOLOGIES INC	9.814	245.35	
120001700	09/25/01	580135101000	100	MCDONALDS CORP	26.602	2,660.18	
Totals						[redacted]	

[redacted]

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Select Client Statement
2001 Year End Summary

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LESLIE P GORDON
Account Number [redacted]

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is not provided to the IRS.

Value of your portfolio

Description	Amount
Money funds	$ 4,504.82
Common stocks & options	82,350.20
Value of your account on 12/31/01	[redacted]
Value of your account on 12/31/00 [redacted]	

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Dividends **	$ 1,020.18		$ 1,020.18
Totals	**$ 1,020.18**		**$ 1,020.18**

***Includes money funds earnings and capital gain distributions.*

[redacted]

[redacted]

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
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Ref: 000[redacted]

Select Client Statement
2001 Year End Summary

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LESLIE P GORDON
Account Number [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	AMER INTERNATIONAL GROUP INC	$ 6.70						
150000200	BANK ONE CORP COM	113.40						
150000300	COCA-COLA CO	64.80						
150000400	WALT DISNEY CO	36.75						
150000500	ENRON CORP	7.50						
150000600	EXXON MOBIL CORP	91.00						
150000700	FEDERAL NATIONAL MORTGAGE ASSN	90.00						
150000800	GENERAL ELECTRIC CO	49.60						
150000900	GILLETTE CO	104.00						
150001000	HOME DEPOT INC	17.00						
150001100	HOUSEHOLD INTERNATIONAL INC	72.90						
150001200	INTEL CORP	14.40						
150001300	JOHNSON & JOHNSON	14.00						
150001400	LUCENT TECHNOLOGIES INC	1.00						
150001500	MERCK & CO INC	75.35						
150001600	PEPSICO INC	39.90						
150001700	SB MONEY FUNDS CASH PORT CL A	98.40						
150001800	TEXAS INSTRUMENTS INC	11.48						
150001900	*** TYCO INTERNATIONAL LTD -NEW-	2.00						
150002000	WELLS FARGO & CO NEW	110.00						
Totals		$ 1,020.18						

*The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.

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2001 YEAR END SUMMARY

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Select Client Statement
2001 Year End Summary

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LESLIE P GORDON
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2001 YEAR END SUMMARY

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000300	10	HOUSEHOLD INTERNATIONAL INC	08/01/00	04/18/01	[redacted]	[redacted]		[redacted]
125000400	20	HOUSEHOLD INTERNATIONAL INC	08/01/00	05/18/01	[redacted]	[redacted]		[redacted]
125000500	25	LUCENT TECHNOLOGIES INC	07/20/00	05/15/01	[redacted]	[redacted]	[redacted]	
Total					[redacted]	[redacted]	[redacted]	[redacted]

Details of Long Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	20	ENRON CORP	07/20/00	10/29/01	[redacted]	[redacted]	[redacted]	
125000200	35	FEDERAL NATIONAL MORTGAGE ASSN	07/20/00	11/02/01	[redacted]	[redacted]		[redacted]
125000600	40	MCDONALDS CORP	08/02/00	09/25/01	[redacted]	[redacted]	[redacted]	
	60		09/05/00		[redacted]	[redacted]	[redacted]	
Total					[redacted]	[redacted]	[redacted]	[redacted]

Details of Deposits and Withdrawals 2001

This section reflects any deposits or withdrawals made to your account during the year.

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	01/19/01	INVESTMENT & ADVISORY SERVICES FROM 01/01/01 TO 03/31/01		$ 551.79
890000300	07/27/01	INVESTMENT & ADVISORY SERVICES FROM 07/01/01 TO 09/30/01		516.70
Total				$ 2,006.57

Reference number	Date	Description	Referral number	Amount
220000200	04/20/01	INVESTMENT & ADVISORY SERVICES FROM 04/01/01 TO 06/30/01	[redacted]	$ 468.62
220000400	10/19/01	INVESTMENT & ADVISORY SERVICES FROM 10/01/01 TO 12/31/01	[redacted]	[redacted]

SALOMON SMITH BARNEY
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[redacted]

Select Client Statement

June 1 - June 30, 2001

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LESLIE P GORDON **Account numb**[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
80	UNITEDHEALTH GROUP INC	07/19/00	$ 3,393.52	$ 42.419	$ 61.75	$ 4,940.00	$ 1,546.48	ST	
80	SYMBOL: UNH/RATING: A	08/24/00	3,689.38	46.117	61.75	4,940.00	1,250.62	ST	
160			7,082.90	44.268		9,880.00	2,797.10		.048 4.80
40	WEATHERFORD INTL INC	07/19/00	1,735.00	43.375	48.00	1,920.00	185.00	ST	
35	SYMBOL: WFT/RATING: C	08/24/00	1,662.35	48.087	48.00	1,680.00	(2.35)	ST	
60		06/15/01	3,234.51	53.908	48.00	2,880.00	(354.51)	ST	
135			6,661.86	49.273		6,480.00	(171.86)		
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	[illegible]
							[redacted]	LT	[illegible]
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	[illegible]
							$ 0.00	LT	[illegible]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
06/07/01	Stk split	GENZYME CORP GENERAL DIVISION STK SPLIT ON 105 SHS	105		$ 0.00
06/20/01	Bought	CORE LABORATORIES N V-USD	35	23.982	-839.37
06/20/01	Bought	AT&T CORP LIBERTY MEDIA GROUP CL A	160	16.162	-2,585.94
06/20/01	Bought	ALKERMES INC SALOMON SMITH BARNEY	45	32.969	-1,483.63
06/20/01	Bought	CABLEVISION SYSTEMS CORP CL A	20	56.001	-1,120.02
06/20/01	Bought	CHIRON CORP DELAWARE SALOMON SMITH BARNEY	40	48.124	-1,924.98
06/20/01	Bought	COMCAST CORP CL A-SPL SALOMON SMITH BARNEY	30	40.555	-1,216.67
06/20/01	Bought	GRANT PRIDECO INC	35	20.144	-705.07
06/20/01	Bought	MAXTOR CORP (NEW)	110	5.886	-647.48
06/20/01	Bought	QUANTUM CORP DLT & STORAGE	230	10.926	-2,513.00
06/20/01	Bought	TYCO INTERNATIONAL LTD -NEW-	45	55.215	-2,484.70
06/20/01	Bought	WEATHERFORD INTL INC	60	53.908	-3,234.51
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					$ 0.00

SALOMON SMITH BARNEY

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[redacted]

Select Client Statement

November 1 - November 30, 2001

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LESLIE P GORDON ***Account numb*** [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
55	STANDARD MICROSYSTEMS CORP	07/19/00	$ 996.88	$ 18.125	$ 13.82	$ 760.10	($ 236.78)	LT	
60	SYMBOL: SMSC/RATING: C	08/24/00	1,072.46	17.874	13.82	829.20	(243.26)	LT	
115			**2,069.33**	**17.994**		**1,589.30**	**(480.03)**		
55	TYCO INTERNATIONAL LTD	07/19/00	2,866.88	52.125	58.80	3,234.00	367.12	LT	
85	-NEW-	08/24/00	4,647.19	54.672	58.80	4,998.00	350.81	LT	
10	SYMBOL: TYC/RATING: B	10/03/00	512.50	51.25	58.80	588.00	75.50	LT	
45		06/15/01	2,484.70	55.215	58.80	2,646.00	161.30	ST	
20		11/19/01	1,159.68	57.984	58.80	1,176.00	16.32	ST	
215			**11,670.95**	**54.283**		**12,642.00**	**971.05**		**.085** **10.75**
80	UNITEDHEALTH GROUP INC	07/19/00	3,393.52	42.419	71.45	5,716.00	2,322.48	LT	
80	SYMBOL: UNH/RATING: A	08/24/00	3,689.38	46.117	71.45	5,716.00	2,026.62	LT	
160			**7,082.90**	**44.268**		**11,432.00**	**4,349.10**		**.041** **4.80**
40	WEATHERFORD INTL INC	07/19/00	1,735.00	43.375	33.47	1,338.80	(396.20)	LT	
35	SYMBOL: WFT/RATING: C	08/24/00	1,682.35	48.067	33.47	1,171.45	(510.90)	LT	
60		06/15/01	3,234.51	53.908	33.47	2,008.20	(1,226.31)	ST	
135			**6,651.86**	**49.273**		**4,518.45**	**(2,133.41)**		
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	[illegible]
							[redacted]	LT	[redacted]
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	[illegible]
							[redacted]	LT	[redacted]

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Date	Activity	Description	Quantity	Price	Amount
11/23/01	Bought	TYCO INTERNATIONAL LTD -NEW-	20	$ 57.984	$ -1,159.68
Total securities bought and other subtractions					**$ -1,159.68**
Total securities sold and other additions					**$ 0.00**

SALOMON SMITH BARNEY

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[redacted]

Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON ***Account numb***[redacted]

Cash, Money funds and Bank deposits	This period	This year
Opening balance	$ 4,432.40	
Deposits	0.00	25,000.00
Withdrawals	0.00	-2,531.02
Dividends credited	46.80	
Money funds earnings reinvested	11.77	
Closing balance	$ 4,490.97	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary	This period	Year-to-date [illegible]
Opening value of securities	[redacted]	[redacted]
+ Opening cash balance	[redacted]	[redacted]
= Opening portfolio balance	[redacted]	[redacted]
Securities deposited/withdrawn net	[redacted]	[redacted]
Capital deposited/withdrawn net	[redacted]	[redacted]
Adjusted opening value	[redacted]	[redacted]
Closing value of securities	[redacted]	[redacted]
+ Closing cash balance	[redacted]	[redacted]
= Closing portfolio value	[redacted]	[redacted]

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account℠ transfers.

Portfolio details *The values of your holdings are as of 12/31/01.*

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.
Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated Income (annualized)
4,490.97	SB MONEY FUNDS CASH PORT CL A	$ 4,490.97		1.55 % $ 69.61
Total money funds		$ 4,490.97	$ 0.00	1.55 $ 69.61

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
190	CORE LABORATORIES N V-USD	08/20/00	$ 4,343.82	$ 22.862	$ 14.02	$ 2,663.80	($ 1,680.02)	LT	
35	SYMBOL: CLB	08/15/01	839.37	23.982	14.02	490.70	(348.67)	ST	
225			5,183.19	23.036		3,154.50	(2,028.69)		

Select Client Statement

December 1 - December 31, 2001

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H

LESLIE P GORDON *Account nu*[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
35	ALKERMES INC	07/19/00	$ 1,585.94	$ 45.312	$ 26.36	$ 922.60	($ 663.34)	LT	
40	SYMBOL: ALKS	08/24/00	1,614.88	40.371	26.36	1,054.40	(560.48)	LT	
45		09/15/01	1,483.63	32.969	26.36	1,186.20	(297.43)	ST	
120			4,684.43	39.037		3,163.20	(1,521.28)		
36	CABLEVISION SYSTEMS CORP	07/19/00	2,028.72	57.963	47.45	1,660.75	(367.97)	LT	
40	CABLEVISION NY GROUP CL A	08/24/00	2,321.42	58.036	47.45	1,898.00	(423.42)	LT	
20	SYMBOL: CVC/RATING: C	06/15/01	1,120.02	56.001	47.45	949.00	(171.02)	ST	
95			5,470.16	57.581		4,507.75	(962.41)		
17.2667	CABLEVISION SYSTEM CORP	07/19/00	355.23	20.561	24.70	426.49	71.26	LT	
19.7333	RAINBOW MEDIA GROUP	08/24/00	406.48	20.876	24.70	487.41	80.93	LT	
37	SYMBOL: RMG		761.71	20.587		913.90	152.19		
65	CHIRON CORP DELAWARE	07/19/00	3,484.19	53.602	43.84	2,849.60	(634.59)	LT	
80	SYMBOL: CHIR/RATING: B-	08/24/00	3,904.68	48.809	43.84	3,507.20	(397.48)	LT	
10		09/14/00	467.88	46.788	43.84	438.40	(29.48)	LT	
40		06/15/01	1,924.98	48.124	43.84	1,753.60	(171.38)	ST	
195			9,781.71	50.163		8,548.80	(1,232.91)		
80	CIRRUS LOGIC INC	07/19/00	1,457.90	18.223	13.22	1,057.60	(400.30)	LT	
30	SYMBOL: CRUS/RATING: C	08/24/00	832.25	27.741	13.22	396.60	(435.65)	LT	
110			2,290.15	20.82		1,454.20	(835.95)		
65	COMCAST CORP CL A-SPL	07/19/00	2,445.83	37.625	36.00	2,340.00	(105.83)	LT	
70	SYMBOL: CMCSK/RATING: B-	08/24/00	2,658.67	37.983	36.00	2,520.00	(138.07)	LT	
30		06/15/01	1,216.67	40.555	36.00	1,080.00	(136.67)	ST	
165			6,321.17	38.31		5,940.00	(381.17)		
50	FOREST LABORATORIES INC	07/19/00	2,681.25	53.625	81.95	4,097.50	1,416.25	LT	
50	SYMBOL: FRX/RATING: B +	08/24/00	2,495.40	49.908	81.95	4,097.50	1,602.10	LT	
100			5,176.65	51.767		8,195.00	3,018.35		
100	GENZYME CORP	07/19/00	3,215.63	32.156	59.86	5,986.00	2,770.37	LT	
90	GENERAL DIVISION	08/24/00	3,232.67	35.918	59.86	5,387.40	2,154.73	LT	
20	SYMBOL: GENZ/RATING: B-	09/21/00	632.42	31.621	59.86	1,197.20	564.78	LT	
210			7,080.72	33.718		12,570.60	5,489.88		
76.6341	GENZYME CORP BIOSURGERY DIV	07/19/00	1,486.88	18.908	5.31	417.55	(1,069.33)	LT	
46.3659	SYMBOL: GZBX	08/24/00	740.63	16.325	5.31	240.89	(499.74)	LT	
124			2,227.51	17.964		658.44	(1,569.07)		
35	GRANT PRIDECO INC	07/19/00	791.88	22.625	11.50	402.50	(389.38)	LT	
30	SYMBOL: GRP	08/24/00	719.44	23.981	11.50	345.00	(374.44)	LT	

LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
35	GRANT PRIDECO INC	08/15/01	$ 705.07	$ 20.144	$ 11.50	$ 402.50	($ 302.57) ST	
100	SYMBOL: GRP		2,216.39	22.164		1,150.00	(1,066.39)	
60	IDEC PHARMACEUTICALS CORP	07/19/00	2,590.00	43.166	68.93	4,135.80	1,545.80 LT	
60	SYMBOL: IDPH/RATING: B-	08/24/00	2,596.63	43.277	68.93	4,135.80	1,539.17 LT	
120			5,186.63	43.222		8,271.60	3,084.97	
115	ISIS PHARMACEUTICALS	07/19/00	1,481.33	12.881	22.19	2,551.85	1,070.52 LT	
130	SYMBOL: ISIP/RATING: C	08/24/00	1,602.17	12.324	22.19	2,884.70	1,282.53 LT	
245			3,083.50	12.586		5,436.55	2,353.05	
35	L 3 COMMUNICATIONS HLDGS INC	07/19/00	1,989.17	56.833	90.00	3,150.00	1,160.83 LT	
30	SYMBOL: LLL	08/24/00	1,831.24	61.041	90.00	2,700.00	868.76 LT	
65			3,820.41	58.776		5,850.00	2,029.59	
105	LIBERTY MEDIA CORP A	08/23/00	2,359.42	22.47	14.00	1,470.00	(889.42) LT	
120	SYMBOL: LMCA	08/24/00	2,709.00	22.575	14.00	1,680.00	(1,029.00) LT	
30		09/28/00	562.50	18.75	14.00	420.00	(142.50) LT	
160		08/15/01	2,585.94	16.162	14.00	2,240.00	(345.94) ST	
415			8,216.86	19.80		5,810.00	(2,406.86)	
136.8	MAXTOR CORP (NEW)	07/19/00	1,004.14	7.34	6.34	867.31	(136.83) LT	
205.2	SYMBOL: MXO	08/24/00	1,208.26	5.888	6.34	1,300.97	92.71 LT	
110		08/15/01	647.48	5.886	6.34	697.40	49.92 ST	
452			2,859.88	6.327		2,865.68	5.80	
30	NANOGEN INC, SAN DIEGO	07/19/00	1,050.00	35.00	5.77	173.10	(876.90) LT	
65	CA-USD SYMBOL: NGEN	08/24/00	1,408.76	21.673	5.77	375.05	(1,033.71) LT	
95			2,458.76	25.882		548.15	(1,910.61)	
250	QUANTUM CORP DLT & STORAGE	07/19/00	2,546.88	10.187	9.85	2,462.50	(84.38) LT	
130	SYMBOL: DSS	08/24/00	1,712.69	13.174	9.85	1,280.50	(432.19) LT	
230		08/15/01	2,513.00	10.926	9.85	2,265.50	(247.50) ST	
610			6,772.57	11.103		6,008.50	(764.07)	
202.5	ROSLYN BANCORP INC	07/19/00	2,514.38	12.416	17.50	3,543.75	1,029.37 LT	
187.5	SYMBOL: RSLN	08/24/00	2,446.88	13.05	17.50	3,281.25	834.37 LT	
390			4,961.26	12.721		6,825.00	1,863.74	2.742 187.20
165	SICOR INC	07/19/00	1,505.63	9.125	15.68	2,587.20	1,081.57 LT	
30	SYMBOL: SCRI/RATING: B-	08/24/00	320.55	10.685	15.68	470.40	149.85 LT	
195			1,826.18	9.365		3,057.60	1,231.42	

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON *Account numbe*[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
55	STANDARD MICROSYSTEMS CORP	07/19/00	$ 996.88	$ 18.125	$ 15.52	$ 853.60	($ 143.28)	LT	
60	SYMBOL: SMSC/RATING: C	08/24/00	1,072.45	17.874	15.52	931.20	(141.25)	LT	
115			2,069.33	17.994		1,784.80	(284.53)		
55	TYCO INTERNATIONAL LTD	07/19/00	2,866.88	52.125	58.90	3,239.50	372.62	LT	
85	-NEW-	08/24/00	4,647.19	54.672	58.90	5,006.50	359.31	LT	
10	SYMBOL: TYC/RATING: B	10/03/00	612.50	61.25	58.90	589.00	76.50	LT	
45		06/15/01	2,484.70	55.215	58.90	2,650.50	165.80	ST	
20		11/19/01	1,159.68	57.984	58.90	1,178.00	18.32	ST	
215			11,670.95	54.283		12,663.50	992.55		.084 10.75
80	UNITEDHEALTH GROUP INC	07/19/00	3,393.52	42.419	70.77	5,661.60	2,268.08	LT	
80	SYMBOL: UNH/RATING: A	08/24/00	3,689.38	46.117	70.77	5,661.60	1,972.22	LT	
160			7,082.90	44.268		11,323.20	4,240.30		.042 4.80
40	WEATHERFORD INTL INC	07/19/00	1,735.00	43.375	37.26	1,490.40	(244.60)	LT	
35	SYMBOL: WFT/RATING: C	08/24/00	1,682.35	48.067	37.26	1,304.10	(378.25)	LT	
60		06/15/01	3,234.51	53.908	37.26	2,235.60	(998.91)	ST	
135			6,651.86	49.273		5,030.10	(1,621.76)		
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	[redacted]
							[redacted]	LT	[redacted]
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	.20
							[redacted]	LT	$ 372.38

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Money funds activity

	Opening money funds balance		$ 4,432.40
Date	Activity	Description	Amount
12/19/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	46.80

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	11.77
		Closing balance	$ 4,490.97

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
12/18/01	ROSLYN BANCORP INC	CASH DIV ON 390.0000 SHS	$ 46.80		$ 46.80
Total dividends/Interest			$ 46.80	$ 0.00	$ 46.80

SALOMON SMITH BARNEY
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Select Client Statement
Forms 1099 and 2001 Year End Summary

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579M0171104864000000308 301380AM01 SOV3P015A
LESLIE P GORDON
579
711
[redacted]
[redacted] [redacted]

Account Number [redacted] [redacted]

Important income tax return document enclosed. For tax advice, please consult your tax advisor.

If you have questions about your Forms 1099 or Year End Summary, call our toll-free number, Monday through Friday, 9:00 a.m. to 5:00 p.m. EST., 1(888)SEL-1099

Please review the enclosed brochure for information you may need to prepare your state and local tax returns on your Smith Barney and Consulting Group Capital Markets funds.

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SALOMON SMITH BARNEY

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Select Client Statement
Forms 1099 for 2001

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Account Numb[redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]

LESLIE P GORDON
[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-DIV Dividends and Distributions 2001

(OMB No.1545-0110)

Ordinary dividends	Total capital gain distributions	28% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
$ 300.99 Box 1	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
Box 3	Box 4	Box 5	Box 6	Box 7	Box 8	Box 9

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[redacted] [redacted]

SALOMON SMITH BARNEY
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Select Client Statement
Forms 1099 for 2001

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LESLIE P GORDON
Account Number [redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]
SALOMON SMITH BARNEY INC.
[redacted]
[redacted]DR
RED BANK, [redacted]
Branch Office [redacted]
[redacted]com

LESLIE P GORDON
[redacted]
[redacted]
[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 (OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 8)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120001100	04/19/01	372917104000	5	GENZYME CORP GENERAL DIVISION	$ 101.07	$ 505.33	
120002100	01/12/01	902124106001	10	TYCO INTERNATIONAL LTD -NEW-	59.437	594.36	
Totals						$ 1,099.69	

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is not provided to the IRS.

Value of your portfolio

Description	Amount
Money funds	[redacted]
Common stocks & options	[redacted]
Value of your account on 12/31/01	[redacted]
Value of your account on 12/31/00	[redacted]

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Dividends **	$ 300.99		$ 300.99
Totals	**$ 300.99**		**$ 300.99**

**Includes money funds earnings and capital gain distributions.*

2001 YEAR END SUMMARY

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

2001 YEAR END SUMMARY

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	ROSLYN BANCORP INC	$ 179.41						
150000200	SB MONEY FUNDS CASH PORT CL A	108.02						
150000300	*** TYCO INTERNATIONAL LTD -NEW-	8.76						
150000400	UNITEDHEALTH GROUP INC	4.80						
Totals		$ 300.99						

The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	.2333 .2667	CABLEVISION SYSTEM CORP RAINBOW MEDIA GROUP CASH IN LIEU OF .50000 RECORD 03/15/01 PAY 03/29/01	07/18/00 08/24/00	04/05/01	$ 5.56 6.36	$ 4.80 5.49		$ .76 .87
125000200	5	GENZYME CORP GENERAL DIVISION SALOMON SMITH BARNEY	07/19/00	04/19/01	505.33	321.56		183.77
125000300	10	TYCO INTERNATIONAL LTD -NEW-	07/19/00	01/12/01	594.36	521.25		73.11
Total					$ 1,111.61	$ 853.10	[redacted]	$ 258.51

SALOMON SMITH BARNEY
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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

Details of Deposits and Withdrawals 2001

This section reflects any deposits or withdrawals made to your account during the year.

Deposits

Reference number	Date	Description	Amount
210000100	06/14/01	FROM 579-04311-01 TO 579-04864-01	$ 25,000.00
Total			$ 25,000.00

Withdrawals

Reference number	Date	Description	Referral number	Amount
220000100	01/19/01	INVESTMENT & ADVISORY SERVICES FROM 01/01/01 TO 03/31/01		$ 572.07
220000300	07/27/01	INVESTMENT & ADVISORY SERVICES FROM 07/01/01 TO 09/30/01		777.40
Total				$ 2,531.02

Reference number	Date	Description	Referral number	Amount
220000200	04/27/01	INVESTMENT & ADVISORY SERVICES FROM 04/01/01 TO 06/30/01		$ 544.16
220000400	10/29/01	INVESTMENT & ADVISORY SERVICES FROM 10/01/01 TO 12/31/01		637.39

2001 YEAR END SUMMARY

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SALOMON SMITH BARNEY Ⓔ

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Client Statement

January 1 - January 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated income (annualized)
43	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	$ 1,935.00	$ 45.00	$ 56.56	$ 2,432.08	$ 497.08 ST	1.783 % $ 43.39
64	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A SYMBOL: UPCOY	07/18/00	1,956.00	30.562	12.375	792.00	(1,164.00) ST	
91	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	4,180.31	45.937	34.97	3,182.27	(998.04) ST	.571 18.20
40	ZURICH FINANCIAL SERVICES SPONS ADR SYMBOL: ZFSVY Exchange rate: .6095366 Shares traded in: Swiss francs	07/18/00	2,278.00	56.975	57.48	2,299.20	20.20 ST	
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]
[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]	[redacted]

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Investment activity

Date	Activity	Description	Quantity	Price	Amount
01/02/01	Merger	GLAXOSMITHKLINE PLC SPONS ADR -USD- FOR TAX PURPOSES, THIS TRANS-ACTION IS REPORTABLE IN 2000			$ 39.09
01/02/01	Merger	GLAXOSMITHKLINE PLC SPONS ADR -USD- FOR TAX PURPOSES, THIS TRANS-ACTION IS REPORTABLE IN 2000	36		0.00
01/02/01	Merger	SMITHKLINE BEECHAM PLC ADR REPSTG ORD A FOR TAX PURPOSES, THIS TRANS-ACTION IS REPORTABLE IN 2000	-34		0.00
01/08/01	Merger	FUJI BANK LTD ADR -USD-	-28		1,782.84
01/08/01	Bought	BARCLAYS PLC-ADR	5	134.062	-670.31
01/10/01	Bought	UBS AG REG	5	175.11	-875.56

SALOMON SMITH BARNEY

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Client Statement

January 1 - January 31, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
01/24/01	Bought	UBS AG REG	5	$ 173.573	$ -867.87
01/24/01	Sold	JEFFERSON SMURFIT PLC SPONS ADR-USD	-32	19.062	609.98
01/24/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	20	38.281	-765.62
01/29/01	Sold	JEFFERSON SMURFIT PLC SPONS ADR-USD TRADE AS OF 01/24/01	-35	18.76	656.58
Total securities bought and other subtractions					$ -3,179.35
Total securities sold and other additions					$ 3,089.13

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
01/19/01	CONSULTING & ADVISORY SERVICES FROM 01/01/01 TO 03/31/01		480.71				

Money funds activity

	Opening money funds balance		$ 2,643.78
Date	Activity	Description	Amount
01/03/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	38.93
01/08/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	3.66
01/09/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1,112.33
01/10/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-876.55
01/16/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	6.68

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
01/17/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	7.42
01/19/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-480.71
01/24/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,023.51
01/29/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.35
01/30/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	656.58
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	6.50
		Closing balance	$ 2,097.34

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
01/05/01	SCHLUMBERGER LTD	CASH DIV ON 19.0000 SHS TAX HELD BY FGN GOVTS .00	$ 3.66		$ 3.66
01/12/01	FUJI BANK LTD ADR -USD-	FOREIGN TAX W/HELD $ 1.18 CASH DIV ON 28.0000 SHS TAX HELD BY FGN GOVTS 1.18	7.84		6.66

SALOMON SMITH BARNEY

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Client Statement

February 1 - February 28, 2001

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LESLIE P GORDON [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
02/06/01	Sold	ASTRAZENECA PLC SPON ADR GBP	-16	$ 45.066	$ 721.07
02/06/01	Sold	BRITISH TELECOM PLC ADR FULLY PAID SHS	-4	101.094	404.37
02/06/01	Sold	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	-19	34.488	655.25
02/07/01	Sold	BANK OF TOKYO MITSUBISHI ADR-USD	-159	9.29	1,477.06
02/07/01	Bought	LLOYDS TSB GROUP PLC SPONSORED ADR	31	42.22	-1,308.82
02/07/01	Bought	NOMURA SECURITIES CO LTD ADR NEW	6	198.35	-1,190.10
02/07/01	Sold	ROYAL KPN NV SPONS ADR	-44	16.02	704.86
02/08/01	Sold	CABLE & WIRELESS PLC SPONSORED ADR	-7	38.42	264.93
02/08/01	Bought	FUJITSU LTD ADR-5 COM-NEW SALOMON SMITH BARNEY	10	80.87	-808.70
02/08/01	Bought	FUJITSU LTD ADR-5 COM-NEW SALOMON SMITH BARNEY	11	82.50	-907.50
02/09/01	Cash in lieu	TELEFONICA S.A. SPONS ADR CASH IN LIEU OF .86000			32.23
02/13/01	Bought	ALCATEL SA ADR	12	52.81	-633.72
02/13/01	Sold	BIOVAIL CORP	-22	43.90	965.77
02/13/01	Bought	CANON INC ADR	20	35.51	-710.20
02/13/01	Sold	DIAGEO PLC SPONSORED ADR NEW	-16	39.83	637.26
02/13/01	Bought	ERICSSON L M TEL CO CL B ADR -USD- SALOMON SMITH BARNEY	104	10.625	-1,105.00
02/13/01	Sold	HSBC HOLDINGS PLC SPONS ADR -NEW-	-10	76.60	765.97
02/13/01	Bought	KONINKLIJKE PHILIPS ELECTRONCIS NS SPON ADR NEW	20	34.29	-685.80
02/13/01	Sold	UNILEVER NV NEW YORK SHS -NEW-	-14	57.59	806.09
02/15/01	Cash in lieu	TELEFONICA S.A. SPONS ADR REV CIL OF .86000			-32.23

SALOMON SMITH BARNEY

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Client Statement

February 1 - February 28, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
02/15/01	Cash in lieu	TELEFONICA S.A. SPONS ADR CASH IN LIEU OF .66000 RECORD 01/04/01 PAY 02/09/01			$ 29.56
02/27/01	Bought	ALLIANZ AG ADR	5	33.147	-165.74
02/27/01	Bought	ALLIANZ AG ADR	5	33.147	-165.74
Total securities bought and other subtractions					$ -7,713.65
Total securities sold and other additions					$ 7,454.42

Money funds activity

Date	Activity	Description	Amount
	Opening money funds balance		$ 2,097.34
02/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	8.61
02/07/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1,463.69
02/08/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,448.60
02/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	32.23
02/14/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	40.37

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
02/15/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-2.67
02/21/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	9.00
02/22/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	15.09
02/27/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-331.48
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	9.36
		Closing balance	$ 1,893.04

Earnings details *The tax status of earnings is reported to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
02/01/01	ENDESA SA, MADRID SPONSORED ADR	FOREIGN TAX W/HELD $ 2.87 CASH DIV ON 47.0000 SHS TAX HELD BY FGN GOVTS 2.87	$ 11.48		$ 8.61
02/07/01	BANCO SANTANDER CENT HISPANO S ADR	FOREIGN TAX W/HELD $ 4.26 CASH DIV ON 258.0000 SHS TAX HELD BY FGN GOVTS 4.26	17.03		12.77
02/20/01	VODAFONE GROUP PLC SP ADR	FOREIGN TAX W/HELD $ 1.00 CASH DIV ON 91.0000 SHS TAX HELD BY FGN GOVTS 1.00	10.00		9.00
02/21/01	BRITISH TELECOM PLC ADR FULLY PAID SHS	FOREIGN TAX W/HELD $ 1.68 CASH DIV ON 12.0000 SHS RECORD 01/08/01 PAY 02/20/01 TAX HELD BY FGN GOVTS 1.68	16.77		15.09
Total dividends credited to account					$ 45.47
FRGN tax withheld					9.81
Total dividends earned			$ 55.28	$ 0.00	$ 55.28

SALOMON SMITH BARNEY

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Client Statement

March 1 - March 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	$ 1,080.00	$ 45.00	$ 52.64	$ 1,263.36	$ 183.36 ST	2.099% $ 26.52
64	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A SYMBOL: UPCOY	07/18/00	1,956.00	30.562	6.438	412.03	(1,543.97) ST	
91	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	4,180.31	45.937	27.15	2,470.65	(1,709.66) ST	.74 18.29
40	ZURICH FINANCIAL SERVICES SPONS ADR SYMBOL: ZFSVY Exchange rate: .5743099 Shares traded in: Swiss francs	07/18/00	2,279.00	56.976	33.026	1,321.00	(958.00) ST	
Total common stocks and options			[illegible]			$ 70,382.17	($ 21,783.08) ST $ 0.00 LT	1.37 [illegible]
Total portfolio value			[illegible]			$ 71,678.99	($ 21,783.08) ST $ 0.00 LT	1.43 [illegible]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
03/01/01	Bought	ASM LITHOGRAPHY HLDGS NV N Y SHS -EUR SALOMON SMITH BARNEY	10	$ 22.937	$ -229.38
03/01/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	5	32.024	-160.12
03/02/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	5	31.625	-158.13
03/06/01	Bought	ASM LITHOGRAPHY HLDGS NV N Y SHS -EUR SALOMON SMITH BARNEY	10	21.624	-216.24
03/06/01	Bought	ASM LITHOGRAPHY HLDGS NV N Y SHS -EUR SALOMON SMITH BARNEY	5	21.524	-107.62

LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
03/05/01	Sold	ASTRAZENECA PLC SPON ADR GBP	-5	$ 46.141	$ 230.70
03/05/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	5	29.366	-146.83
03/05/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	5	29.366	-146.83
03/06/01	Sold	GLAXOSMITHKLINE PLC SPONS ADR -USD-	-10	55.46	554.49
03/06/01	Bought	ASM LITHOGRAPHY HLDGS NV N Y SHS -EUR SALOMON SMITH BARNEY	14	20.147	-282.06
03/07/01	Bought	ASM LITHOGRAPHY HLDGS NV N Y SHS -EUR SALOMON SMITH BARNEY	15	21.525	-322.88
03/07/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	5	29.072	-145.36
03/07/01	Sold	DIAGEO PLC SPONSORED ADR NEW TRADE AS OF 03/02/01	-15	42.123	631.84
03/15/01	Bought	ASM LITHOGRAPHY HLDGS NV N Y SHS -EUR SALOMON SMITH BARNEY	10	22.87	-228.71
03/22/01	Bought	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	30	21.627	-648.84
03/22/01	Sold	BP AMOCO PLC SPONS ADR TRADE AS OF 03/19/01	-10	48.885	488.84
03/22/01	Sold	GLAXOSMITHKLINE PLC SPONS ADR -USD-	-5	49.611	248.06
03/26/01	Sold	ALBERTA ENERGY CO LTD-CAD	-12	43.62	523.42
03/26/01	Bought	ALLIANZ AG ADR	26	29.51	-767.26
03/26/01	Sold	CANON INC ADR	-15	37.23	558.43
03/26/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	13	27.50	-357.50
03/26/01	Sold	ELAN CORP PLC ADR	-12	48.80	585.58
03/26/01	Bought	NOMURA SECURITIES CO LTD ADR NEW	3	174.00	-522.00
03/28/01	Bought	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	20	20.625	-412.50

SALOMON SMITH BARNEY
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Client Statement
March 1 - March 31, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
03/28/01	Sold	ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR	-5	$ 54.747	$ 273.73
03/28/01	Sold	UNILEVER NV NEW YORK SHS -NEW-	-5	50.409	252.04
03/29/01	Sold	CANON INC ADR	-5	39.741	198.70
03/30/01	Bought	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	15	21.41	-321.15
Total securities bought and other subtractions					$ -5,172.42
Total securities sold and other additions					$ 4,645.62

Money funds activity

Date	Activity	Description	Amount
	Opening money funds balance		$ 1,893.04
03/01/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-389.50
03/02/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-158.13
03/06/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-113.39
03/08/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	163.59
03/09/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	10.39
03/16/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-229.71

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
03/20/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	10.39
03/23/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	88.05
03/27/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	20.67
03/29/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	113.27
03/30/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-122.46
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	7.80
		Closing balance	$ 1,294.62

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
03/08/01	CABLE & WIRELESS PLC SPONSORED ADR	FOREIGN TAX W/HELD $ 1.16 CASH DIV ON 48.0000 SHS TAX HELD BY FGN GOVTS 1.16	$ 11.55		$ 10.39
03/19/01	BP AMOCO PLC SPONS ADR	FOREIGN TAX W/HELD $ 1.16 CASH DIV ON 33.0000 SHS TAX HELD BY FGN GOVTS 1.16	11.55		10.39
Total dividends credited to account					$ 20.78
FRGN tax withheld					2.32
Total dividends earned			$ 23.10	$ 0.00	$23.10

SALOMON SMITH BARNEY

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Select Client Statement

April 1 - April 30, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
28	TELEFONICA S.A. SPONS ADR SYMBOL: TEF	07/18/00	$ 1,780.02	$ 63.572	$ 50.26	$ 1,407.28	($ 372.74)	ST	
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	994.50	76.50	74.90	973.70	(20.80)	ST	2.919 28.43
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	50.12	1,346.88	266.88	ST	1.988 26.52
64	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A SYMBOL: UPCOY	07/18/00	1,956.00	30.562	6.44	412.16	(1,543.84)	ST	
91	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	4,180.31	45.937	30.28	2,755.48	(1,424.83)	ST	.663 18.28
40	ZURICH FINANCIAL SERVICES SPONS ADR SYMBOL: ZFSVY Exchange rate: .5789341 Shares traded in: Swiss francs	07/18/00	2,279.00	56.975	35.565	1,422.60	(856.40)	ST	2.326 33.08
Total common stocks and options			$ [illegible]			$76,637.00	($ 15,884.38)	ST	1.30
							$ 0.00	LT	$ 892.36
Total portfolio value			$ 92,908.58			$ 77,024.22	($ 15,884.38)	ST	1.35
							$ 0.00	LT	$ 1,043.23

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
04/03/01	Merger	BANK OF TOKYO MITSUBISHI ADR-USD	-183		$ 0.00
04/03/01	Merger	MITSUBISHI TOKYO FINANCIAL GRO SPONS ADR-JPY	183		0.00
04/10/01	Bought	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	25	15.195	-379.88

SALOMON SMITH BARNEY

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Select Client Statement

April 1 - April 30, 2001

Ref [redacted]

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
04/10/01	Bought	ALCATEL SA ADR	5	$ 29.724	$ -148.62
04/10/01	Sold	BAYER A G SPONSORED ADR SALOMON SMITH BARNEY	-10	40.75	407.49
04/10/01	Bought	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	5	23.456	-117.28
04/10/01	Sold	ENDESA SA, MADRID SPONSORED ADR	-10	17.089	170.89
04/10/01	Sold	GLAXOSMITHKLINE PLC SPONS ADR -USD-	-5	52.30	261.49
04/10/01	Bought	KONINKLIJKE PHILIPS ELECTRONCIS NS SPON ADR NEW	5	27.20	-136.00
04/23/01	Cash in lieu	TELEFONICA S.A. SPONS ADR CASH IN LIEU OF .56000 RECORD 03/06/01 PAY 04/16/01			27.76
04/30/01	Sold	ALPHARMA INC CL A	-5	21.177	105.89
Total securities bought and other subtractions					$ -781.78
Total securities sold and other additions					$ 973.82

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
04/20/01	CONSULTING & ADVISORY SERVICES FROM 04/01/01 TO 06/30/01		402.07				

Money funds activity

	Opening money funds balance		$ 1,294.82
Date	Activity	Description	Amount
04/09/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	12.30
04/10/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	18.33
04/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	62.55
04/17/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	12.40
04/18/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	11.11

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
04/18/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	23.12
04/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-402.07
04/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	27.76
04/30/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	20.80
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	6.01
		Closing balance	$ 1,087.13

SALOMON SMITH BARNEY

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May 1 - May 31, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
05/07/01	Sold	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	-10	$ 29.446	$ 294.44
05/17/01	Bought	ERICSSON L M TEL CO CL B ADR -USD- SALOMON SMITH BARNEY	20	6.164	-123.28
05/17/01	Sold	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	-15	30.887	463.30
05/18/01	Bought	ERICSSON L M TEL CO CL B ADR -USD- SALOMON SMITH BARNEY	55	6.164	-339.06
05/22/01	Stk split	AXA S.A.SPONS ADR STK SPLIT ON 48 SHS	48		0.00
05/24/01	Rts award	RTS BRITISH TELECOMM PUR ADR PLC EXP 6/11/2001 RTS DIST ON 9 SHS	2		0.00
Total securities bought and other subtractions					$ -462.34
Total securities sold and other additions					$ 1,309.78

Money funds activity

Opening money funds balance $ 1,087.13

Date	Activity	Description	Amount
05/01/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	162.84
05/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	107.31
05/03/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	167.61
05/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	339.82
05/07/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	48.03

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
05/08/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	308.28
05/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	18.25
05/16/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	38.88
05/30/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	39.74
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	6.03
		Closing balance	$ 2,320.82

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
05/02/01	HSBC HOLDINGS PLC SPONS ADR -NEW-	FOREIGN TAX W/HELD $ 6.97 CASH DIV ON 44.0000 SHS TAX HELD BY FGN GOVTS 6.97	$ 69.67		$ 62.70
05/04/01	ING GROEP NV SPONS ADR	FOREIGN TAX W/HELD $ 8.48 CASH DIV ON 45.0000 SHS TAX HELD BY FGN GOVTS 8.48	56.51		48.03
05/07/01	BANCO SANTANDER CENT HISPANO S ADR	FOREIGN TAX W/HELD $ 4.62 CASH DIV ON 255.0000 SHS TAX HELD BY FGN GOVTS 4.62	18.46		13.84

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June 1 - June 30, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	$ 994.50	$ 76.50	$ 70.20	$ 912.60	($ 81.90) ST	1.705 % $ 15.56
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	59.57	1,429.68	349.68 ST	1.789 25.56
91	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	4,180.31	45.937	22.35	2,033.85	(2,146.46) ST	
20		06/19/01	454.15	22.707	22.35	447.00	(7.15) ST	
111			4,634.46	41.752		2,480.85	(2,153.61)	.894 22.20
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	06/21/01	724.71	48.314	50.25	753.75	29.04 ST	.536 4.04
40	ZURICH FINANCIAL SERVICES SPONS ADR SYMBOL: ZFSVY Exchange rate: .5576807 Shares traded in: Swiss francs	07/18/00	2,279.00	56.975	34.106	1,364.24	(914.76) ST	2.424 33.08
Total common stocks and options			[redacted]			[redacted]	[redacted] ST [redacted] LT	[redacted]
Total portfolio value			[redacted]			[redacted]	[redacted] ST [redacted] LT	[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
06/08/01	Sold	RTS BRITISH TELECOMM PUR ADR PLC EXP 6/11/2001	-2	$ 19.598	$ 39.18
06/20/01	Bought	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	20	21.518	-430.37
06/20/01	Sold	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	-23	22.59	519.57

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June 1 - June 30, 2001

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LESLIE P GORDON [redacted]

Investment activity, *continued*

Date	Activity	Description	Quantity	Price	Amount
06/21/01	Cash in lieu	RTS BRITISH TELECOMM PUR ADR PLC EXP 6/11/2001 CASH IN LIEU OF .40000 RECORD 05/18/01 PAY 06/21/01			$ 7.52
06/22/01	Sold	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A SALOMON SMITH BARNEY	-32	3.015	96.49
06/22/01	Sold	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A SALOMON SMITH BARNEY TRADE AS OF 06/19/01	-16	2.29	36.64
06/22/01	Bought	VODAFONE GROUP PLC SP ADR	20	22.707	-464.15
06/26/01	Sold	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A SALOMON SMITH BARNEY	-16	2.02	32.32
06/26/01	Bought	WPP GROUP PLC SPONS ADR NEW -USD- SALOMON SMITH BARNEY TRADE AS OF 06/21/01	15	48.314	-724.71
06/29/01	Cash in lieu	KONINKLIJKE AHOLD NV SPONSORED ADR NEW CASH IN LIEU OF .70000			21.87
Total securities bought and other subtractions					$ -1,609.23
Total securities sold and other additions					$ 753.89

Money funds activity

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
		Opening money funds balance	$ 2,320.92
06/07/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	52.07
06/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	37.46
06/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	7.24
06/15/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	22.04
06/21/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	89.20
06/22/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-297.96
06/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-682.99
06/28/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	3.89
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	7.09
		Closing balance	$ 1,648.67

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Select Client Statement

August 1 - August 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	$ 994.50	$ 76.50	$ 73.85	$ 960.05	($ 34.45) LT	1.62 % $ 15.56
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	61.09	1,466.16	386.16 LT	1.744 28.58
91	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	4,180.31	45.937	20.15	1,833.65	(2,346.66) LT	
20		06/19/01	454.15	22.707	20.15	403.00	(51.15) ST	
111			4,634.46	41.752		2,236.65	(2,397.81)	.892 22.20
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	08/21/01	724.71	48.314	49.47	742.05	17.34 ST	.574 4.26
40	ZURICH FINANCIAL SERVICES SPONS ADR SYMBOL: ZFSVY Exchange rate: .5994521 Shares traded in: Swiss francs	07/18/00	2,279.00	56.975	28.25	1,130.00	(1,149.00) LT	2.849 32.20
Total common stocks and options			[redacted]			[redacted]	($ 4,017.32) ST ($ 20,818.03) LT	[redacted]
Total portfolio value			[redacted]			[redacted]	($ 4,017.32) ST ($ 20,818.03) LT	[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
08/14/01	Sold	BAYER A G SPONSORED ADR SALOMON SMITH BARNEY	-10	$ 31.803	$ 318.03
08/17/01	Sold	BAYER A G SPONSORED ADR SALOMON SMITH BARNEY	-10	32.36	323.59
08/20/01	Bought	CRH PLC ADR-USD SALOMON SMITH BARNEY	20	18.07	-361.40
Total securities bought and other subtractions					$ -361.40
Total securities sold and other additions					$ 641.62

SALOMON SMITH BARNEY

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September 1 - September 30, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	$ 994.50	$ 76.50	$ 67.55	$ 878.15	($ 116.35) LT	1.772% $ 15.56
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	54.02	1,296.48	216.48 LT	1.973 25.58
91	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	4,180.31	45.937	21.96	1,998.36	(2,181.95) LT	
20		06/19/01	454.15	22.707	21.96	439.20	(14.95) ST	
15		09/06/01	299.33	19.955	21.96	329.40	30.07 ST	
126			4,933.79	39.157		2,766.96	(2,166.83)	.91 25.20
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	08/21/01	724.71	48.314	38.872	583.08	(171.63) ST	.77 4.26
Total common stocks and options			[redacted]			[redacted]	[redacted] ST [redacted] LT	[redacted] [redacted]
Total portfolio value			[redacted]			[redacted]	[redacted] ST [redacted] LT	[redacted] [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
09/05/01	Sold	ZURICH FINANCIAL SERVICES SPONS ADR SALOMON SMITH BARNEY TRADE AS OF 08/30/01	-20	$ 28.97	$ 579.36
09/10/01	Bought	GLAXOSMITHKLINE PLC SPONS ADR -USD-	5	51.971	-259.86
09/10/01	Bought	SONY CORP-ADR-AMERICAN SHS NEW	5	42.386	-211.93
09/10/01	Bought	TELEFONICA S.A. SPONS ADR	20	32.356	-647.13
09/10/01	Sold	ZURICH FINANCIAL SERVICES SPONS ADR SALOMON SMITH BARNEY	-10	27.509	275.09
09/11/01	Bought	VODAFONE GROUP PLC SP ADR	15	19.955	-299.33

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October 1 - October 31, 2001

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LESLIE P GORDON **Account** [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	$ 1,080.00	$ 45.00	$ 51.98	$ 1,247.52	$ 167.52	LT	2.05% $ 25.56
81	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	3,720.94	45.937	23.12	1,872.72	(1,848.22)	LT	
20		08/19/01	454.15	22.707	23.12	462.40	8.25	ST	
15		09/06/01	299.33	19.955	23.12	346.80	47.47	ST	
116			4,474.42	38.573		2,681.92	(1,792.50)		.865 23.20
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	08/21/01	724.71	48.314	44.40	666.00	(58.71)	ST	.639 4.26
	Total common stocks and options		[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted]
	Total portfolio value		[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
10/18/01	Sold	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	-10	$ 22.048	$ 220.48
10/18/01	Bought	ALLIANZ AG ADR	20	22.544	-450.89
10/18/01	Bought	GLAXOSMITHKLINE PLC SPONS ADR -USD-	10	55.318	-553.18
10/18/01	Sold	VODAFONE GROUP PLC SP ADR	-10	22.60	225.98
10/24/01	Cash in lieu	KONINKLIJKE AHOLD NV SPONSORED ADR NEW CASH IN LIEU OF .35000			9.48
Total securities bought and other subtractions					$ -1,004.07
Total securities sold and other additions					$ 455.92

SALOMON SMITH BARNEY
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November 1 - November 30, 2001

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LESLIE P GORDON Accou[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
28	TELEFONICA S.A.	07/18/00	$ 1,780.02	$ 63.572	$ 39.91	$ 1,117.48	($ 662.54)	LT	
20	SPONS ADR	09/06/01	647.13	32.356	39.91	798.20	151.07	ST	
48	SYMBOL: TEF		2,427.15	50.566		1,915.68	(511.47)		
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	994.50	76.50	64.09	833.17	(161.33)	LT	1.867 15.56
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	56.90	1,365.60	285.60	LT	1.931 26.38
81	VODAFONE GROUP PLC SP ADR	07/18/00	3,720.94	45.937	25.34	2,052.54	(1,668.40)	LT	
20	SYMBOL: VOD	08/19/01	454.16	22.707	25.34	506.80	52.65	ST	
15		09/06/01	299.33	19.955	25.34	380.10	80.77	ST	
116			4,474.42	38.573		2,939.44	(1,534.98)		.812 23.90
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	08/21/01	724.71	48.314	49.28	739.20	14.49	ST	.57 4.22
	Total common stocks and options		[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted] [redacted]
	Total portfolio value		[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted]

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Date	Activity	Description	Quantity	Price	Amount
11/08/01	Sold	KONINKLIJKE PHILIPS ELECTRONCIS NS SPON ADR NEW	-20	$ 24.964	$ 499.27
11/09/01	Bought	ALLIANZ AG ADR	5	24.934	-124.67
11/19/01	Merger	BT GROUP PLC ADR-USD	8		0.00
11/19/01	Merger	BRITISH TELECOM PLC ADR FULLY PAID SHS	-8		0.00
11/19/01	Merger	MMO2 PLC ADR-USD	8		0.00
Total securities bought and other subtractions					$ -124.67
Total securities sold and other additions					$ 499.27

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December 1 - December 31, 2001

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LESLIE P GORDON Account numb[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	$ 994.50	$ 76.50	$ 70.24	$ 913.12	($ 81.38)	LT	1.704% $ 15.56
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	57.61	1,382.64	302.64	LT	1.907 26.36
81	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	3,720.94	45.937	25.68	2,080.08	(1,640.86)	LT	
20		08/19/01	454.15	22.707	25.68	513.60	59.45	ST	
15		09/06/01	299.33	19.955	25.68	385.20	85.87	ST	
116			4,474.42	38.573		2,978.88	(1,495.54)		.902 26.90
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	06/21/01	724.71	48.314	53.90	808.50	83.79	ST	.521 4.22
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST LT	1.71 $ 1,078.82
Total portfolio value			[redacted]			[redacted]	[redacted]	ST LT	1.70 $ 1,106.77

Investment activity

Transaction details All dates of transactions appearing on this statement are settlement dates

Date	Activity	Description	Quantity	Price	Amount
12/06/01	Sold	BT GROUP PLC ADR-USD	-8	$ 38.555	$ 308.43
12/06/01	Sold	CABLE & WIRELESS PLC SPONSORED ADR	-23	14.286	328.58
12/06/01	Sold	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	-22	21.851	480.70
12/06/01	Sold	HUTCHISON WHAMPOA LTD-ADR -USD-	-5	45.032	225.15
12/06/01	Sold	MMO2 PLC ADR-USD	-8	11.377	91.02
12/06/01	Sold	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	-64	19.539	1,250.51
12/07/01	Bought	E ONAG SPONS ADR	15	49.40	-741.00
12/07/01	Bought	RIO TINTO PLC-GBP	10	76.56	-765.60

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December 1 - December 31, 2001

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LESLIE P GORDON *Account nu*[redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
12/07/01	Bought	SUEZ SA SPON ADR	30	$ 28.977	$ -869.31
12/11/01	Sold	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	-20	28.681	573.60
12/11/01	Bought	BP AMOCO PLC SPONS ADR	20	44.763	-895.68
12/11/01	Sold	ERICSSON L M TEL CO CL B ADR -USD- SALOMON SMITH BARNEY	-76	6.095	467.11
12/19/01	Merger	NOMURA HOLDINGS INC UNSP ADR	-9		0.00
12/19/01	Merger	NOMURA HOLDINGS INC ADR	90		0.00
Total securities bought and other subtractions					$ -3,271.49
Total securities sold and other additions					$ 3,716.10

Money funds activity

	Opening money funds balance		$ 1,314.78
Date	Activity	Description	Amount
12/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	5.50
12/06/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1,433.88
12/07/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,121.53
12/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	9.18

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	135.03
12/18/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	14.25
12/20/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	5.40
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	3.88
		Closing balance	$ 1,800.35

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
12/03/01	HONDA MOTOR CO LTD ADR-NEW -USD-	FOREIGN TAX W/HELD $ 0.97 CASH DIV ON 31.0000 SHS TAX HELD BY FGN GOVTS .97	$ 6.47		$ 5.50
12/07/01	SONY CORP-ADR-AMERICAN SHS NEW	FOREIGN TAX W/HELD $ 0.66 CASH DIV ON 44.0000 SHS TAX HELD BY FGN GOVTS .66	4.43		3.77
12/10/01	BP AMOCO PLC SPONS ADR	FOREIGN TAX W/HELD $ 0.84 CASH DIV ON 23.0000 SHS TAX HELD BY FGN GOVTS .84	8.43		7.59
12/10/01	FUJITSU LTD ADR-5 COM-NEW	FOREIGN TAX W/HELD $ 0.28 CASH DIV ON 21.0000 SHS TAX HELD BY FGN GOVTS .28	1.85		1.57
12/17/01	MATSUSHITA ELEC INDL ADR	FOREIGN TAX W/HELD $ 0.89 CASH DIV ON 120.0000 SHS TAX HELD BY FGN GOVTS .89	5.93		5.04

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December 1 - December 31, 2001

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LESLIE P GORDON **Account numb**[redacted]

Cash, Money funds and Bank deposits	This period	This year
Opening balance	[redacted]	
Securities bought and other subtractions	[redacted]	
Securities sold and other additions	[redacted]	
Withdrawals	0.00	-1,610.10
Dividends credited	38.08	
Money funds earnings reinvested	3.88	
Closing balance	[redacted]	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary	This period	Year-to-date
Opening value of securities	[redacted]	[redacted]
+ Opening cash balance	0.00	0.00
= Opening portfolio balance	[redacted]	[redacted]
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	0.00	-1,610.10
Adjusted opening value	[redacted]	[redacted]
Closing value of securities	[redacted]	[redacted]
+ Closing cash balance	0.00	0.00
= Closing portfolio value	[redacted]	[redacted]

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account℠ transfers.

Portfolio details The values of your holdings are as of 12/31/01.

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.
Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated Income (annualized)
1,800.36	SB MONEY FUNDS CASH PORT CL A	$ 1,800.36		1.56 % $ 27.90
Total money funds		$ 1,800.36	$ 0.00	1.56 $ 27.90

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
15	UBS AG-CHF	01/05/01	$ 875.55	$ 58.37	$ 50.00	$ 750.00	($ 125.55)	ST	
15	SYMBOL: UBS	01/19/01	867.87	57.858	50.00	750.00	(117.87)	ST	
30			1,743.42	58.114		1,500.00	(243.42)		2.33 34.86

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
10	ASML HLDGS NV -EUR SYMBOL: ASML	02/28/01	$ 229.38	$ 22.937	$ 17.05	$ 170.50	($ 58.88)	ST	
10		02/28/01	215.24	21.524	17.05	170.50	(44.74)	ST	
5		02/28/01	107.62	21.524	17.05	85.25	(22.37)	ST	
14		03/01/01	282.06	20.147	17.05	238.70	(43.36)	ST	
15		03/02/01	322.89	21.526	17.05	255.75	(67.14)	ST	
10		03/12/01	228.71	22.87	17.05	170.50	(58.21)	ST	
64			1,385.90	21.655		1,091.20	(294.70)		
10	FLEXTRONICS INTL LTD USD SYMBOL: FLEX	03/23/01	206.25	20.625	23.99	239.90	33.65	ST	
15		03/27/01	321.15	21.41	23.99	359.85	38.70	ST	
25		04/05/01	379.88	15.195	23.99	599.75	219.87	ST	
20		06/15/01	430.37	21.518	23.99	479.80	49.43	ST	
70			1,337.65	19.109		1,679.30	341.65		
25	ALBERTA ENERGY CO LTD-CAD SYMBOL: AOG/RATING: B +	08/15/00	987.76	39.51	37.85	946.25	(41.51)	LT	1.046 9.90
33	ALCATEL SA ADR SYMBOL: ALA	07/18/00	2,427.56	73.562	16.55	546.15	(1,881.41)	LT	
10		11/15/00	584.20	58.42	16.55	165.50	(418.70)	LT	
12		02/09/01	633.72	52.81	16.55	198.60	(435.12)	ST	
5		04/05/01	148.62	29.724	16.55	82.75	(65.87)	ST	
60			3,794.10	63.235		993.00	(2,801.10)		2.187 21.72
5	ALLIANZ AG ADR SYMBOL: AZ	02/22/01	165.74	33.147	23.60	118.00	(47.74)	ST	
5		02/22/01	165.74	33.147	23.60	118.00	(47.74)	ST	
26		03/21/01	767.26	29.51	23.60	613.60	(153.66)	ST	
20		10/16/01	450.89	22.544	23.60	472.00	21.11	ST	
5		11/06/01	124.57	24.914	23.60	118.00	(6.57)	ST	
61			1,674.20	27.446		1,439.60	(234.60)		.398 5.73
34	ASTRAZENECA PLC SPON ADR GBP SYMBOL: AZN	07/19/00	1,434.66	42.196	46.60	1,584.40	149.74	LT	1.996 31.62
92	AXA S.A.SPONS ADR SYMBOL: AXA	07/19/00	3,412.63	37.093	21.02	1,933.84	(1,478.79)	LT	1.936 37.44
23	BP AMOCO PLC SPONS ADR SYMBOL: BP	07/18/00	1,213.25	52.75	46.51	1,069.73	(143.52)	LT	
20		12/06/01	895.68	44.783	46.51	930.20	34.52	ST	
43			2,108.93	49.045		1,999.93	(109.00)		2.773 55.47

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON Account [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
236	BANCO SANTANDER CENT	07/18/00	$ 2,463.25	$ 10.437	$ 8.30	$ 1,958.80	($ 504.45)	LT	
19	HISPANO S ADR	09/29/00	208.70	10.984	8.30	157.70	(51.00)	LT	
255	SYMBOL: STD		2,671.95	10.478		2,116.50	(555.45)		2.868 54.32
21	BARCLAYS PLC-ADR	07/18/00	1,945.13	92.625	134.55	2,825.55	880.42	LT	
5	SYMBOL: BCS	01/04/01	670.31	134.062	134.55	672.75	2.44	ST	
26			2,615.44	100.594		3,498.30	882.86		2.631 92.07
38	BIOVAIL CORP SYMBOL: BVF/RATING: B	07/18/00	1,172.06	30.843	56.25	2,137.50	965.44	LT	
20	CRH PLC ADR-USD SYMBOL: CRHCY	08/15/01	361.40	18.07	17.11	342.20	(19.20)	ST	.935 3.20
18	CABLE & WIRELESS PLC SPONSORED ADR SYMBOL: CWP	07/18/00	1,027.12	57.062	14.81	266.58	(760.54)	LT	4.834 12.89
32	CANON INC ADR	07/18/00	1,524.00	47.625	35.06	1,121.92	(402.08)	LT	
20	SYMBOL: CAJ	02/08/01	710.20	35.51	35.06	701.20	(9.00)	ST	
52			2,234.20	42.965		1,823.12	(411.08)		.233 4.26
3	CHARTERED SEMICONDUCTOR	03/02/01	87.22	29.073	26.439	79.32	(7.90)	ST	
13	MFG LTD ADR	03/21/01	357.50	27.50	26.439	343.71	(13.79)	ST	
5	SYMBOL: CHRT	04/05/01	117.28	23.456	26.439	132.20	14.92	ST	
21			562.00	26.762		555.23	(6.77)		
38	DIAGEO PLC SPONSORED ADR NEW SYMBOL: DEO	07/18/00	1,360.87	35.812	46.27	1,758.26	397.39	LT	2.787 49.02
15	E ONAG SPONS ADR SYMBOL: EON	12/04/01	741.00	49.40	51.51	772.65	31.65	ST	1.687 13.04
36	ELAN CORP PLC ADR SYMBOL: ELN	07/18/00	1,833.75	50.937	45.06	1,622.16	(211.59)	LT	
37	ENDESA SA, MADRID SPONSORED ADR SYMBOL: ELE	07/18/00	746.94	20.187	15.67	579.79	(167.15)	LT	3.178 18.43

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
99	ERICSSON L M TEL CO CL B	07/18/00	$ 2,246.07	$ 22.687	$ 5.22	$ 516.78	($ 1,729.29)	LT	
20	ADR -USD-	08/08/00	377.50	18.875	5.22	104.40	(273.10)	LT	
104	SYMBOL: ERICY	02/08/01	1,105.00	10.625	5.22	542.88	(562.12)	ST	
20		06/14/01	123.28	6.164	5.22	104.40	(18.88)	ST	
55		06/15/01	339.06	6.164	5.22	287.10	(51.96)	ST	
298			**4,190.91**	**14.063**		**1,555.56**	**(2,635.35)**		**.651** **10.13**
11	FUJITSU LTD ADR-5 COM-NEW	02/05/01	907.50	82.50	36.395	400.35	(507.15)	ST	
10	SYMBOL: FJTSY	02/05/01	808.70	80.87	36.395	363.95	(444.75)	ST	
21			**1,716.20**	**81.724**		**764.30**	**(951.90)**		**.642** **4.91**
18	GLAXOSMITHKLINE PLC	07/18/00	1,023.69	56.871	49.82	896.76	(126.93)	LT	
5	SPONS ADR -USD-	09/05/01	259.86	51.971	49.82	249.10	(10.76)	ST	
10	SYMBOL: GSK	10/15/01	553.18	55.318	49.82	498.20	(54.98)	ST	
33			**1,836.73**	**55.658**		**1,644.06**	**(192.67)**		**2.864** **47.09**
44	HSBC HOLDINGS PLC SPONS ADR -NEW- SYMBOL: HBC	07/18/00	**2,796.75**	63.562	59.71	**2,627.24**	(169.51)	LT	**4.418** **116.07**
26	HONDA MOTOR CO LTD ADR-NEW	07/18/00	1,927.25	74.125	81.51	2,119.26	192.01	LT	
5	-USD- SYMBOL: HMC	12/21/00	355.52	71.103	81.51	407.55	52.03	LT	
31			**2,282.77**	**73.638**		**2,526.81**	**244.04**		**.423** **10.70**
24	HUTCHISON WHAMPOA LTD-ADR -USD- SYMBOL: HUWHY	07/18/00	**1,824.00**	76.00	48.25	**1,158.00**	**(666.00)**	LT	**2.209** **25.58**
82	ING GROEP NV SPONS ADR	07/18/00	2,698.31	32.906	25.45	2,086.90	(611.41)	LT	
8	SYMBOL: ING	09/29/00	265.75	33.218	25.45	203.60	(62.15)	LT	
90			**2,964.06**	**32.934**		**2,290.50**	**(673.56)**		**2.958** **67.77**
35	KONINKLIJKE AHOLD NV SPONSORED ADR NEW SYMBOL: AHO	07/18/00	**975.63**	27.875	29.39	**1,028.65**	**53.02**	LT	**1.493** **15.37**
36	KONINKLIJKE PHILIPS	07/18/00	1,887.59	52.433	29.11	1,047.96	(839.63)	LT	
10	ELECTRONCIS NS SPON ADR NEW	08/08/00	412.50	41.25	29.11	291.10	(121.40)	LT	
20	SYMBOL: PHG	02/08/01	685.80	34.29	29.11	582.20	(103.60)	ST	

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

Ref. [redacted]

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
5	KONINKLIJKE PHILIPS	04/05/01	$ 136.00	$ 27.20	$ 29.11	$ 145.55	$ 9.55	ST	
71	ELECTRONCIS NS SPON ADR NEW SYMBOL: PHG		3,121.89	43.97		2,066.81	(1,055.08)		.934 19.31
31	LLOYDS TSB GROUP PLC SPONSORED ADR SYMBOL: LYG	02/02/01	1,308.82	42.22	44.99	1,394.69	85.87	ST	3.914 54.59
90	MATSUSHITA ELEC INDL ADR	07/18/00	2,295.00	25.50	12.60	1,134.00	(1,161.00)	LT	
30	SYMBOL: MC	12/21/00	684.80	22.828	12.60	378.00	(306.80)	LT	
120			2,979.80	24.832		1,512.00	(1,467.80)		.666 10.08
163	MITSUBISHI TOKYO FINANCIAL GRO SPONS ADR-JPY SYMBOL: MTF	07/18/00	1,752.25	10.75	6.47	1,054.61	(697.64)	LT	.942 9.94
60	NOMURA HOLDINGS INC	02/02/01	1,190.10	19.835	12.26	735.60	(454.50)	ST	
30	ADR SYMBOL: NMR	03/21/01	522.00	17.40	12.26	367.80	(154.20)	ST	
90			1,712.10	19.023		1,103.40	(608.70)		9.535 105.21
10	RIO TINTO PLC-GBP SYMBOL: RTP	12/04/01	765.50	76.55	78.30	783.00	17.50	ST	2.988 23.40
19	ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR SYMBOL: RD	07/18/00	1,132.88	59.625	49.02	931.38	(201.50)	LT	2.446 22.78
19	SCHLUMBERGER LTD SYMBOL: SLB/RATING: B	07/18/00	1,427.38	75.125	54.95	1,044.05	(383.33)	LT	1.364 14.25
34	SONY CORP-ADR-AMERICAN SHS	07/18/00	3,417.00	100.50	45.10	1,533.40	(1,883.60)	LT	
5	NEW SYMBOL: SNE	12/21/00	349.34	69.867	45.10	225.50	(123.84)	LT	
5		09/05/01	211.93	42.386	45.10	225.50	13.57	ST	
44			3,978.27	90.415		1,984.40	(1,993.87)		.379 7.52
30	SUEZ SA SPON ADR SYMBOL: SZE	12/04/01	869.31	28.977	31.53	945.90	76.59	ST	
28	TELEFONICA S.A.	07/18/00	1,780.02	63.572	40.08	1,122.24	(657.78)	LT	
20	SPONS ADR SYMBOL: TEF	09/06/01	647.13	32.356	40.08	801.60	154.47	ST	
48			2,427.15	50.566		1,923.84	(503.31)		

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December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
13	TOTAL FINA ELF S.A. SPONS ADR-USD SYMBOL: TOT	07/18/00	$ 884.50	$ 76.50	$ 70.24	$ 913.12	($ 81.38)	LT	1.704% $ 15.56
24	UNILEVER NV NEW YORK SHS -NEW- SYMBOL: UN	07/18/00	1,080.00	45.00	57.61	1,382.64	302.64	LT	1.907 26.38
81	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	3,720.94	45.937	25.68	2,080.08	(1,640.86)	LT	
20		08/19/01	454.15	22.707	25.68	513.60	59.45	ST	
15		09/06/01	299.33	19.955	25.68	385.20	85.87	ST	
116			4,474.42	38.573		2,978.88	(1,495.54)		.802 23.90
15	WPP GROUP PLC SPONS ADR NEW -USD- SYMBOL: WPPGY	08/21/01	724.71	48.314	53.90	808.50	83.79	ST	.521 4.22
Total common stocks and options			$ 80,[illegible]			$ 68,062.15	($ 2,674.66) ($ 14,805.20)	ST LT	1.71 $ 1,078.82
Total portfolio value			$ [illegible]			$ [illegible]	($ 2,674.66) ($ 14,805.20)	ST LT	1.70 $ 1,106.72

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Date	Activity	Description	Quantity	Price	Amount
12/05/01	Sold	BT GROUP PLC ADR-USD	-8	$ 38.555	$ 308.43
12/05/01	Sold	CABLE & WIRELESS PLC SPONSORED ADR	-23	14.288	328.58
12/05/01	Sold	CHARTERED SEMICONDUCTOR MFG LTD ADR SALOMON SMITH BARNEY	-22	21.851	480.70
12/05/01	Sold	HUTCHISON WHAMPOA LTD-ADR -USD-	-5	45.032	225.15
12/05/01	Sold	MMO2 PLC ADR-USD	-8	11.377	91.02
12/06/01	Sold	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	-64	19.539	1,250.51
12/07/01	Bought	E ONAG SPONS ADR	15	49.40	-741.00
12/07/01	Bought	RIO TINTO PLC-GBP	10	76.55	-765.50

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
12/07/01	Bought	SUEZ SA SPON ADR	30	$ 28.977	$ -869.31
12/11/01	Sold	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	-20	28.881	573.60
12/11/01	Bought	BP AMOCO PLC SPONS ADR	20	44.783	-895.68
12/11/01	Sold	ERICSSON L M TEL CO CL B ADR -USD- SALOMON SMITH BARNEY	-75	6.085	457.11
12/19/01	Merger	NOMURA HOLDINGS INC UNSP ADR	-9		0.00
12/19/01	Merger	NOMURA HOLDINGS INC ADR	90		0.00
Total securities bought and other subtractions					**$ -3,271.48**
Total securities sold and other additions					**$ 3,716.10**

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	**$ 1,314.78**
12/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	5.50
12/06/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1,433.88
12/07/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,121.53
12/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	9.16

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	135.03
12/18/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	14.25
12/20/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	5.40
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	3.88
		Closing balance	**$ 1,800.35**

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
12/03/01	HONDA MOTOR CO LTD ADR-NEW -USD-	FOREIGN TAX W/HELD $ 0.97 CASH DIV ON 31.0000 SHS TAX HELD BY FGN GOVTS .97	$ 6.47		$ 5.50
12/07/01	SONY CORP-ADR-AMERICAN SHS NEW	FOREIGN TAX W/HELD $ 0.66 CASH DIV ON 44.0000 SHS TAX HELD BY FGN GOVTS .66	4.43		3.77
12/10/01	BP AMOCO PLC SPONS ADR	FOREIGN TAX W/HELD $ 0.84 CASH DIV ON 23.0000 SHS TAX HELD BY FGN GOVTS .84	8.43		7.59
12/10/01	FUJITSU LTD ADR-5 COM-NEW	FOREIGN TAX W/HELD $ 0.28 CASH DIV ON 21.0000 SHS TAX HELD BY FGN GOVTS .28	1.85		1.57
12/17/01	MATSUSHITA ELEC INDL ADR	FOREIGN TAX W/HELD $ 0.89 CASH DIV ON 120.0000 SHS TAX HELD BY FGN GOVTS .89	5.93		5.04

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Forms 1099 and 2001 Year End Summary

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Account Number [redacted]

[redacted] 301380AM01 SOV3P015A
LE[redacted]
579 25[redacted]
711 WA[redacted]

Important income tax return document enclosed. For tax advice, please consult your tax advisor.

If you have questions about your Forms 1099 or Year End Summary, call our toll-free number, Monday through Friday, 9:00 a.m. to 5:00 p.m. EST., 1(888)SEL-1099

Please review the enclosed brochure for information you may need to prepare your state and local tax returns on your Smith Barney and Consulting Group Capital Markets funds.

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Forms 1099 for 2001

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Account Number [redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]

[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-DIV Dividends and Distributions 2001

(OMB No 1545-0110)

Ordinary dividends	Total capital gain distributions	28% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
Box 1 $ 1,214.41	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
Box 3 $ 9.15	Box 4	Box 6	Box 6 $ 152.49	Box 7 Various	Box 8	Box 9

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Select Client Statement Forms 1099 for 2001

LESLIE P GORDON
Account Number [redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
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[redacted].com

[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 (OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120001500	05/02/01	Y2573F102001	10	FLEXTRONICS INTL LTD USD	$ 28.445	$ 284.44	
120001700	10/15/01	Y2573F102001	10	FLEXTRONICS INTL LTD USD	22.048	220.48	
120001800	12/08/01	Y2573F102001	20	FLEXTRONICS INTL LTD USD	28.681	573.60	
120001900	03/21/01	012873105001	12	ALBERTA ENERGY CO LTD-CAD	43.62	523.42	
120002700	04/25/01	020813101000	5	ALPHARMA INC CL A	21.177	105.89	
120002800	04/26/01	020813101000	5	ALPHARMA INC CL A	21.461	107.31	
120002900	04/27/01	020813101000	5	ALPHARMA INC CL A	20.981	104.91	
120003000	04/30/01	020813101000	10	ALPHARMA INC CL A	22.655	226.54	
120003100	04/30/01	020813101000	5	ALPHARMA INC CL A	22.655	113.28	
120003200	02/01/01	046353108001	16	ASTRAZENECA PLC SPON ADR GBP	45.068	721.07	
120003300	02/28/01	046353108001	5	ASTRAZENECA PLC SPON ADR GBP	46.141	230.70	
120003600	03/19/01	055622104001	10	BP AMOCO PLC SPONS ADR	[redacted]	[redacted]	
120003800	11/30/01	05577E101001	8	BT GROUP PLC ADR-USD	38.555	308.43	
120003900	02/02/01	065379109001	159	BANK OF TOKYO MITSUBISHI ADR-USD	9.29	1,477.06	

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Select Client Statement
Forms 1099 for 2001

LESLIE P GORDON
Account Num[redacted]

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1099-B Proceeds from Broker and Barter Exchange Transactions 2001 - *continued*

(OMB#1545-0715)

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120004200	04/05/01	072730302001	10	BAYER A G SPONSORED ADR	$ 40.75	$ 407.49	
120004300	08/09/01	072730302001	10	BAYER A G SPONSORED ADR	31.803	318.03	
120004400	08/14/01	072730302001	10	BAYER A G SPONSORED ADR	32.36	323.59	
120004500	02/08/01	09067J109001	22	BIOVAIL CORP	43.90	965.77	
120004700	06/01/01	111021119001	2	RTS BRITISH TELECOMM PUR ADR PLC EXP 6/11/2001	19.588	39.18	
120004900	02/01/01	111021408001	4	BRITISH TELECOM PLC ADR FULLY PAID SHS	101.094	404.37	
120005200	02/05/01	126830207001	7	CABLE & WIRELESS PLC SPONSORED ADR	36.42	254.93	
120005300	11/30/01	126830207001	23	CABLE & WIRELESS PLC SPONSORED ADR	14.288	328.58	
120005500	03/21/01	138006309001	15	CANON INC ADR	37.23	558.43	
120005600	03/26/01	138006309001	5	CANON INC ADR	39.741	198.70	
120005700	09/24/01	138006309001	10	CANON INC ADR	27.834	278.34	
120006500	11/30/01	16133R106001	22	CHARTERED SEMICONDUCTOR MFG LTD ADR	21.851	480.70	
120006600	02/08/01	25243Q205001	16	DIAGEO PLC SPONSORED ADR NEW	39.83	637.28	
120006700	03/02/01	25243Q205001	15	DIAGEO PLC SPONSORED ADR NEW	42.123	631.84	
120006900	03/21/01	284131208001	12	ELAN CORP PLC ADR	48.80	585.58	
120007000	04/05/01	29258N107001	10	ENDESA SA, MADRID SPONSORED ADR	17.089	[redacted]	
120007400	12/06/01	294821400001	75	ERICSSON L M TEL CO CL B ADR -USD-	6.095	457.11	
120007500	01/08/01	359550209001	28	FUJI BANK LTD ADR -USD-		1,782.64	

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Forms 1099 for 2001

LESLIE P GORDON [redacted]
Account Number [redacted]

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1099-B Proceeds from Broker and Barter Exchange Transactions 2001 - *continued* (OMB#1545-0715)

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120007800	02/28/01	37733W105001	10	GLAXOSMITHKLINE PLC SPONS ADR -USD-	$ 55.45	$ 554.48	
120007900	03/19/01	37733W105001	5	GLAXOSMITHKLINE PLC SPONS ADR -USD-	49.611	248.05	
120008000	04/05/01	37733W105001	5	GLAXOSMITHKLINE PLC SPONS ADR -USD-	52.30	261.49	
120008300	02/08/01	404280406001	10	HSBC HOLDINGS PLC SPONS ADR -NEW-	76.60	765.97	
120008400	11/30/01	448415208001	5	HUTCHISON WHAMPOA LTD-ADR -USD-	45.032	225.15	
120008600	01/19/01	47508W107001	32	JEFFERSON SMURFIT PLC SPONS ADR-USD	19.062	609.98	
120008700	01/24/01	47508W107001	35	JEFFERSON SMURFIT PLC SPONS ADR-USD	18.76	656.56	
120008800	06/29/01	500467303001		KONINKLIJKE AHOLD NV SPONSORED ADR NEW		21.67	
120009200	11/05/01	500472303001	20	KONINKLIJKE PHILIPS ELECTRONCIS NS SPON ADR NEW	24.964	499.27	
120009500	11/30/01	55309W101001	8	MMO2 PLC ADR-USD	11.377	91.02	
120009800	12/03/01	654624105001	64	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	19.539	1,250.51	
120009900	02/01/01	654902204001	19	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	34.488	655.25	
120010000	05/14/01	654902204001	15	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	[redacted]	[redacted]	
120010100	06/15/01	654902204001	23	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	22.59	519.57	

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Select Client Statement
Forms 1099 for 2001

LESLIE P GORDON
Account Number [redacted]

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1099-B Proceeds from Broker and Barter Exchange Transactions 2001 - *continued* (OMB#1545-0715)

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120010700	03/23/01	780257804001	5	ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR	$ 54.747	$ 273.73	
120010800	02/02/01	780641205001	44	ROYAL KPN NV SPONS ADR	16.02	704.86	
120011100	02/15/01	879382208001		TELEFONICA S.A. SPONS ADR		29.56	
120011200	04/23/01	879382208001		TELEFONICA S.A. SPONS ADR		27.76	
120011400	02/08/01	904784709001	14	UNILEVER NV NEW YORK SHS -NEW-	57.58	806.09	
120011500	03/23/01	904784709001	5	UNILEVER NV NEW YORK SHS -NEW-	50.409	252.04	
120011600	06/19/01	911300200001	32	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A	3.015	96.49	
120011700	06/19/01	911300200001	16	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A	2.29	36.64	
120011800	06/21/01	911300200001	16	UNITED PAN EUROPE COMMUNICATIONS N V SP ADR CL A	2.02	32.32	
120012100	10/15/01	92857W100001	10	VODAFONE GROUP PLC SP ADR	22.60	225.99	
120012300	08/30/01	98982M107001	20	ZURICH FINANCIAL SERVICES SPONS ADR	28.97	579.38	
120012400	09/05/01	98982M107001	10	ZURICH FINANCIAL SERVICES SPONS ADR	27.509	275.09	
120012500	09/06/01	98982M107001	10	ZURICH FINANCIAL SERVICES SPONS ADR	25.54	[redacted]	[redacted]
Totals						[redacted]	

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

*Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is **not** provided to the IRS.*

Value of your portfolio

Description	Amount
Money funds	[redacted]
Common stocks & options	[redacted]
Value of your account on 12/31/01	[redacted]
Value of your account on 12/31/00	[redacted]

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Dividends **	[redacted]		[redacted]
Totals	[redacted]		[redacted]

***Includes money funds earnings and capital gain distributions.*

Summary of miscellaneous tax withheld 2001

The following taxes have been withheld in compliance with U.S. federal or foreign regulations.

Description	Amount
Foreign tax paid	$ [redacted]
Total	$[redacted]

2001 YEAR END SUMMARY

[redacted]

SALOMON SMITH BARNEY
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Ref: [redacted]

Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Numb[redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000200	*** ALBERTA ENERGY CO LTD-CAD THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 9.84						
150000300	*** ALCATEL SA ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	25.57						
150000400	*** ALLIANZ AG ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	4.80						
150000500	ALPHARMA INC CL A	2.70						
150000600	*** ASTRAZENECA PLC SPON ADR GBP THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	29.06						
150000700	*** AXA S.A.SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	[redacted] 44.07						
150000800	*** BP AMOCO PLC SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	36.46						
150000900	*** BANCO SANTANDER CENT HISPANO S ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	72.52						
150001000	*** BANK OF TOKYO MITSUBISHI ADR-USD THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	5.54						
150001100	*** BARCLAYS PLC-ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	102.29				[redacted]	[redacted]	[redacted]

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2001 YEAR END SUMMARY

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON

[redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e *continued*

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150001200	*** BAYER A G SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 24.79						
150001300	*** BRITISH TELECOM PLC ADR FULLY PAID SHS THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	16.77						
150001400	*** CRH PLC ADR-USD	1.20						
150001500	*** CABLE & WIRELESS PLC SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	34.32						
150001600	*** CANON INC ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	11.52						
150001700	*** DIAGEO PLC SPONSORED ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	54.46						
150001800	*** ENDESA SA, MADRID SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	25.08						
150001900	*** ERICSSON L M TEL CO CL B ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	14.59						
150002000	*** FUJI BANK LTD ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	7.84						
150002100	*** FUJITSU LTD ADR-5 COM-NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	5.78			[redacted]			
150002200	*** GLAXOSMITHKLINE PLC SPONS ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	10.26						

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
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Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e - *continued*

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2c)	Section 1202 gain (Box 2e)
150002300	*** HSBC HOLDINGS PLC SPONS ADR -NEW- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 116.11						
150002400	*** HONDA MOTOR CO LTD ADR-NEW -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	12.43						
150002500	*** HUTCHISON WHAMPOA LTD-ADR -USD-	30.91						
150002600	*** ING GROEP NV SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	94.25						
150002700	*** KONINKLIJKE AHOLD NV SPONSORED ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	41.76						
150002800	*** KONINKLIJKE PHILIPS ELECTRONCIS NS SPON ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	27.20						
150002900	*** LLOYDS TSB GROUP PLC SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	60.67						
150003000	*** MATSUSHITA ELEC INDL ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	11.90						
150003100	*** NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	12.76						
150003200	*** NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	9.43			[redacted]	[redacted]	[redacted]	[redacted]

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
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Select Client Statement
2001 Year End Summary

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LESLIE P GORDON
Account Number [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e *continued*

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150003300	*** NOMURA SECURITIES CO LTD ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 12.38						
150003400	*** ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	26.80						
150003500	*** SCHLUMBERGER LTD	14.24						
150003600	SB MONEY FUNDS CASH PORT CL A	65.74						
150003700	*** SMITHKLINE BEECHAM PLC ADR REPSTG ORD A THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	20.59						
150003800	*** SONY CORP-ADR-AMERICAN SHS NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	8.33						
150003900	*** TOTAL FINA ELF S.A. SPONS ADR-USD THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	16.30						
150004000	*** UNILEVER NV NEW YORK SHS -NEW- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	30.89						
150004100	*** VODAFONE GROUP PLC SP ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	20.27						

2001 YEAR END SUMMARY

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Select Client Statement
2001 Year End Summary

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LESLIE P GORDON
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Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e - *continued*

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150004200	*** WPP GROUP PLC SPONS ADR NEW -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 1.69						
150004300	*** ZURICH FINANCIAL SERVICES SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	37.90						
Totals		$ 1,214.41						

The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150000100	*** UBS AG REG	$ 9.15						
150000200	*** ALBERTA ENERGY CO LTD-CAD THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.48			
150000300	*** ALCATEL SA ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				3.84			
150000400	*** ALLIANZ AG ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.39			

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2001 YEAR END SUMMARY

SALOMON SMITH BARNEY

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Select Client Statement
2001 Year End Summary

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LESLIE P GORDON

Account Number [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9 *continued*

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150000600	*** ASTRAZENECA PLC SPON ADR GBP THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 2.01			
150000700	*** AXA S.A.SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				5.61			
150000800	*** BP AMOCO PLC SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				3.65			
150000900	*** BANCO SANTANDER CENT HISPANO S ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				16.14			
150001000	*** BANK OF TOKYO MITSUBISHI ADR-USD THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.83			
150001100	*** BARCLAYS PLC-ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				10.23			
150001200	*** BAYER A G SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				2.65			
150001300	*** BRITISH TELECOM PLC ADR FULLY PAID SHS THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.68			
150001500	*** CABLE & WIRELESS PLC SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				3.44			
150001600	*** CANON INC ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				[redacted]			

2001 YEAR END SUMMARY

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Numb[redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9 *continued*

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150001700	*** DIAGEO PLC SPONSORED ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 5.45			
150001800	*** ENDESA SA, MADRID SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				6.42			
150001900	*** ERICSSON L M TEL CO CL B ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				2.19			
150002000	*** FUJI BANK LTD ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.18			
150002100	*** FUJITSU LTD ADR-5 COM-NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.87			
150002200	*** GLAXOSMITHKLINE PLC SPONS ADR -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.03			
150002300	*** HSBC HOLDINGS PLC SPONS ADR -NEW- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				11.61			
150002400	*** HONDA MOTOR CO LTD ADR-NEW -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.86			
150002600	*** ING GROEP NV SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				14.14			
150002700	*** KONINKLIJKE AHOLD NV SPONSORED ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				10.4[redacted]			

2001 YEAR END SUMMARY

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9 *continued*

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150002800	*** KONINKLIJKE PHILIPS ELECTRONCIS NS SPON ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 4.08			
150002900	*** LLOYDS TSB GROUP PLC SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				6.07			
150003000	*** MATSUSHITA ELEC INDL ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.79			
150003100	*** NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.91			
150003200	*** NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.41			
150003300	*** NOMURA SECURITIES CO LTD ADR NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				1.86			
150003400	*** ROYAL DUTCH PETROLEUM CO NY REGISTRY SH PAR N GLDR 1.25 DEN-EUR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				4.02			
150003700	*** SMITHKLINE BEECHAM PLC ADR REPSTG ORD A THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				2.08			
150003600	*** SONY CORP-ADR-AMERICAN SHS NEW THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				[redacted]			

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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

2001 YEAR END SUMMARY

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9 *continued*

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150003900	*** TOTAL FINA ELF S.A. SPONS ADR-USD THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 2.75			
150004000	*** UNILEVER NV NEW YORK SHS -NEW- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				4.63			
150004100	*** VODAFONE GROUP PLC SP ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				2.03			
150004200	*** WPP GROUP PLC SPONS ADR NEW -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.17			
150004300	*** ZURICH FINANCIAL SERVICES SPONS ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				5.69			
Totals		$ 9.15			$ 152.49			

Details of Short Term Gain (Loss) 2001

This section shows your sales of securities during the year. The "Sale Proceeds" column excludes any accrued income you may have received. Please note, this material is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Reference number	Quantity	Security Description	Opening Trade Date	Closing Trade Date	Sale Proceeds	Cost	(Loss)	Gain
125000100	10	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	03/19/01	05/02/01	$ 294.44	$ 216.28		$ 78.16
125000200	10	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	03/19/01	10/15/01	220.48	216.28 [redacted]		4.20
125000300	10 10	FLEXTRONICS INTL LTD USD SALOMON SMITH BARNEY	03/19/01 03/23/01	12/06/01	286.80 286.80	216.28 206.25		70.52 80.55
125000400	12	[illegible]BERTA ENERGY CO LTD-CAD	08/15/00	03/21/01	523.42	474.12		49.30
125000500	5	ALPHARMA INC CL A	11/01/00	04/25/01	105.89	200.00	(94.11)	

SALOMON SMITH BARNEY. (F)

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Client Statement

January 1 - January 31, 2001

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LESLIE P GORDON **Account number** [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
65	TYCO INTERNATIONAL LTD -NEW- SYMBOL: TYC/RATING: B +	07/18/00	$ 3,473.68	$ 53.441	$ 61.60	$ 4,004.00	$ 530.32	ST	.081 % $ 3.25
10	UNITED TECHNOLOGIES CORP SYMBOL: UTX/RATING. B +	07/18/00	590.30	59.03	74.98	749.80	159.50	ST	1.20 9.00
5	VERITAS SOFTWARE CORP SYMBOL: VRTS	07/18/00	651.71	130.341	94.876	474.38	(177.33)	ST	
20	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	910.53	45.526	34.97	699.40	(211.13)	ST	.571 4.00
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A +	07/18/00	1,202.49	60.124	56.80	1,136.00	(66.49)	ST	.422 4.80
	Total common stocks and options		[redacted]			[redacted]	[redacted] $ 0.00	ST LT	.86 $ 407.18
	Total portfolio value		[redacted]			[redacted]	[redacted] $ 0.00	ST LT	.66 $ 482.09

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
01/11/01	Tender	MEDTRONIC INC REVERSAL N 26.0000 SHS FOR TAX PURPOSES, THIS TRANS- ACTION IS REPORTABLE IN 2000			$ -.01
01/16/01	Merger	AOL TIME WARNER INC			23.18
01/16/01	Merger	AOL TIME WARNER INC	15		0.00
01/16/01	Merger	AOL TIME WARNER INC	37		0.00
01/16/01	Merger	AMERICA ONLINE INC DEL	-15		0.00
01/16/01	Bought	PHARMACIA CORP	15	55.834	-837.52
01/16/01	Merger	TIME WARNER INC	-25		0.00
01/23/01	Sold	NORTEL NETWORKS CORP NEW	-5	35.855	179.27
01/25/01	Bought	JUNIPER NETWORKS INC SALOMON SMITH BARNEY	2	129.531	-259.06

SALOMON SMITH BARNEY

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Client Statement

January 1 - January 31, 2001

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LESLIE P GORDON

Account numbe[redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
01/26/01	Bought	JUNIPER NETWORKS INC SALOMON SMITH BARNEY	2	$ 126.21	$ -252.42
01/29/01	Sold	PMC SIERRA INC SALOMON SMITH BARNEY	-4	109.531	438.12
Total securities bought and other subtractions					$ -1,348.01
Total securities sold and other additions					$ 640.57

Other security activity

Date	Activity	Description	Quantity	Value
01/02/01	Name change	CHASE MANHATTAN CORP NEW	-40	
01/02/01	Name change	JP MORGAN CHASE & CO	40	
Net value of securities deposited/withdrawn				$ 0.00

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
01/19/01	CONSULTING & ADVISORY SERVICES FROM 01/01/01 TO 03/31/01		425.31				

Money funds activity

Date	Activity	Description	Amount
	Opening money funds balance		$ 2,039.30
01/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.15
01/03/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	9.90
01/09/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.20
01/10/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-814.34
01/19/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-425.31

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
01/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	179.27
01/25/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-244.68
01/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-251.17
01/30/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	438.12
01/31/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	6.90
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.67
		Closing balance	$ 939.03

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
01/02/01	MBNA CORP	CASH DIV ON 60.0000 SHS	$ 4.80		$ 4.80
01/02/01	MERCK & CO INC	CASH DIV ON 18.0000 SHS	6.10		6.10
01/08/01	WAL-MART STORES INC	CASH DIV ON 20.0000 SHS	1.20		1.20
01/11/01	MEDTRONIC INC	CASH DIV ON 25.0000 SHS FOR TAX PURPOSES, THIS TRANSACTION IS REPORTABLE IN 2000	.01		.01
01/25/01	GENERAL ELECTRIC CO	CASH DIV ON 90.0000 SHS	14.40		14.40
01/26/01	MEDTRONIC INC	CASH DIV ON 25.0000 SHS	1.25		1.25

SALOMON SMITH BARNEY

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Client Statement

February 1 - February 28, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
80	SOLECTRON CORP SYMBOL: SLR/RATING: B +	07/18/00	$ 3,737.02	$ 46.712	$ 27.25	$ 2,180.00	($ 1,557.02)	ST	
20	SUN MICROSYSTEMS INC SYMBOL: SUNW/RATING: B +	07/18/00	961.45	48.072	19.875	397.50	(563.95)	ST	
65	TYCO INTERNATIONAL LTD -NEW- SYMBOL: TYC/RATING: B +	07/18/00	3,473.68	53.441	54.65	3,552.25	78.57	ST	.091 3.28
5	UNITED TECHNOLOGIES CORP SYMBOL: UTX/RATING: B +	07/18/00	295.15	59.03	77.91	389.55	94.40	ST	1.155 4.50
5	VERITAS SOFTWARE CORP SYMBOL: VRTS	07/18/00	651.71	130.341	64.938	324.69	(327.02)	ST	
4		02/09/01	314.00	78.499	64.938	259.75	(54.25)	ST	
9			965.71	107.301		584.44	(381.27)		
20	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	910.53	45.526	27.31	546.20	(364.33)	ST	.735 4.02
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A +	07/18/00	1,202.48	60.124	50.09	1,001.80	(200.68)	ST	.479 4.80
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	.69
							$ 0.00	LT	$ 408.34
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	.68
							$ 0.00	LT	$ 447.11

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
02/08/01	Sold	DELL COMPUTER CORP SALOMON SMITH BARNEY	-15	$ 26.80	$ 397.69
02/09/01	Bought	APPLIED MICROCIRCUITS CORP SALOMON SMITH BARNEY	6	55.699	-334.20
02/09/01	Sold	UNITED TECHNOLOGIES CORP TRADE AS OF 02/08/01	-5	74.498	372.47
02/12/01	Bought	APPLIED MICROCIRCUITS CORP SALOMON SMITH BARNEY	4	48.60	-194.64

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February 1 - February 28, 2001

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LESLIE P GORDON [redacted]

Investment activity
continued

Date	Activity	Description	Quantity	Price	Amount
02/13/01	Cash in lieu	MCDATA CORP CLASS A CASH IN LIEU OF .86210			$ 20.93
02/14/01	Bought	BEA SYSTEMS INC SALOMON SMITH BARNEY	4	52.094	-208.38
02/14/01	Sold	INTL BUSINESS MACHINES CORP	-5	112.904	564.50
02/14/01	Bought	VERITAS SOFTWARE CORP SALOMON SMITH BARNEY	4	78.499	-314.00
02/20/01	Bought	AMDOCS LTD	6	67.52	-405.12
02/20/01	Sold	HOME DEPOT INC	-5	45.323	226.61
02/22/01	Bought	APPLIED MICROCIRCUITS CORP SALOMON SMITH BARNEY	2	44.769	-89.54
02/22/01	Bought	BEA SYSTEMS INC SALOMON SMITH BARNEY	4	52.531	-210.13
02/22/01	Bought	JUNIPER NETWORKS INC SALOMON SMITH BARNEY	2	82.505	-165.01
02/22/01	Sold	NORTEL NETWORKS CORP NEW TRADE AS OF 02/16/01	-20	19.86	397.19
02/23/01	Bought	CISCO SYS INC SALOMON SMITH BARNEY	10	26.849	-268.50
02/26/01	Sold	INTEL CORP SALOMON SMITH BARNEY	-25	31.841	796.00
02/26/01	Bought	PHARMACIA CORP	15	48.84	-732.60
02/27/01	Bought	BEA SYSTEMS INC SALOMON SMITH BARNEY	2	38.135	-76.27
Total securities bought and other subtractions					**$ -2,898.39**
Total securities sold and other additions					**$ 2,765.69**

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	**$ 989.03**
02/01/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	12.80
02/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	4.13
02/07/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	388.70
02/12/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-156.37
02/14/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	20.83
02/16/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	42.12

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
02/16/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	5.61
02/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-176.53
02/22/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-87.49
02/23/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-257.30
02/27/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-5.17
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.33
		Closing balance	**$ 784.68**

SALOMON SMITH BARNEY
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Client Statement
March 1 - March 31, 2001

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LESLIE P GORDON *Account nu*[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
55	SCHERING PLOUGH CORP SYMBOL: SGP/RATING: A +	07/18/00	$ 2,527.53	$ 45.955	$ 36.53	$ 2,009.15	($ 518.38)	ST	1.532% $ 30.80
80	SOLECTRON CORP SYMBOL: SLR/RATING: B +	07/18/00	3,737.02	46.712	19.01	1,520.80	(2,216.22)	ST	
20	SUN MICROSYSTEMS INC SYMBOL: SUNW/RATING: B +	07/18/00	961.46	48.072	15.37	307.40	(654.06)	ST	
65	TYCO INTERNATIONAL LTD -NEW- SYMBOL: TYC/RATING: B +	07/18/00	3,473.68	53.441	43.23	2,809.95	(663.73)	ST	.115 3.25
5	UNITED TECHNOLOGIES CORP SYMBOL: UTX/RATING: B +	07/18/00	295.15	59.03	73.30	366.50	71.35	ST	1.227 4.50
5	VERITAS SOFTWARE CORP SYMBOL: VRTS	07/18/00	651.71	130.341	46.24	231.20	(420.51)	ST	
4		02/09/01	314.00	78.499	46.24	184.96	(129.04)	ST	
9			965.71	107.301		416.16	(549.55)		
20	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/19/00	910.59	45.528	27.15	543.00	(367.59)	ST	.74 4.02
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A +	07/18/00	1,202.49	60.124	50.50	1,010.00	(192.49)	ST	.554 5.60
Total common stocks and options			[redacted]			[redacted]	[redacted] ($ 0.00)	ST LT	[illegible] [redacted]
Total portfolio value			[redacted]			[redacted]	[redacted] $ 0.00	ST LT	[illegible] [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
03/07/01	Bought	BEA SYSTEMS INC SALOMON SMITH BARNEY	2	$ 35.321	$ -70.64
03/12/01	Bought	APPLIED MICROCIRCUITS CORP SALOMON SMITH BARNEY	5	29.914	-149.57
03/12/01	Sold	INTEL CORP SALOMON SMITH BARNEY	-10	32.965	329.64

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Client Statement

March 1 - March 31, 2001

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LESLIE P GORDON

Account numb[redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
03/21/01	Cancel buy	APPLIED MICROCIRCUITS CORP SALOMON SMITH BARNEY TO CXL PREVIOUS BUY FIGURED TO S/D 03-12-01	-5	$ 29.914	$ 149.57
03/21/01	Bought	APPLIED MICROCIRCUITS CORP SALOMON SMITH BARNEY FIGURED TO S/D 03-12-01 TRADE AS OF 03/07/01	5	29.895	-149.48
Total securities bought and other subtractions					$ -369.69
Total securities sold and other additions					$ 479.11

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 764.69
03/02/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.80
03/07/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-70.64
03/08/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	10.45

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
03/13/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	182.40
03/19/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.00
03/23/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.89
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	3.89
		Closing balance	**$ 895.48**

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities/assets of your account.

Dividends

Date	Description	Comment		Taxable	Non-taxable	Amount
03/01/01	INTEL CORP	CASH DIV ON	90.0000 SHS	$ 1.80		$ 1.80
03/08/01	PFIZER INC	CASH DIV ON	95.0000 SHS	10.45		10.45
03/12/01	INTL BUSINESS MACHINES CORP	CASH DIV ON	10.0000 SHS	1.30		1.30
03/12/01	UNITED TECHNOLOGIES CORP	CASH DIV ON	5.0000 SHS	1.13		1.13
03/16/01	AMER INTERNATIONAL GROUP INC	CASH DIV ON	27.0000 SHS	1.00		1.00
03/22/01	HOME DEPOT INC	CASH DIV ON	45.0000 SHS	1.80		1.80
03/23/01	HARLEY-DAVIDSON INC	CASH DIV ON	30.0000 SHS	.75		.75
Total dividends earned				$ 18.23	$ 0.00	$ 18.23

Money funds earnings

Date	Description	Comment	Taxable	Non-taxable	Amount
03/08/01	SB MONEY FUNDS CASH PORT CL A	REINVESTED FOR PERIOD 02/12/01-03/11/01 28 DAYS AVERAGE YIELD 6.23 %.	$ 3.89		$ 3.89
Total earnings from money funds			$ 3.89	$ 0.00	$ 3.89

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April 1 - April 30, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
15	PHARMACIA CORP SYMBOL: PHA/RATING: B	01/10/01	$ 937.52	$ 55.834	$ 52.26	$ 783.90	($ 53.62)	ST	
15		02/21/01	732.60	48.84	52.26	783.90	51.30	ST	
30			1,670.12	52.337		1,567.80	(2.32)		.918 14.40
55	SCHERING PLOUGH CORP SYMBOL: SGP/RATING: A +	07/18/00	2,527.53	45.955	38.54	2,119.70	(407.83)	ST	1.66 35.20
80	SOLECTRON CORP SYMBOL: SLR/RATING: B +	07/18/00	3,737.02	46.712	25.46	2,038.00	(1,701.02)	ST	
20	SUN MICROSYSTEMS INC SYMBOL: SUNW/RATING: B +	07/18/00	961.45	48.072	17.12	342.40	(619.05)	ST	
60	TYCO INTERNATIONAL LTD -NEW- SYMBOL: TYC/RATING: B +	07/18/00	3,206.47	53.441	53.37	3,202.20	(4.27)	ST	.093 3.00
5	UNITED TECHNOLOGIES CORP SYMBOL: UTX/RATING: B +	07/18/00	295.15	59.03	78.08	390.40	95.25	ST	1.152 4.50
5	VERITAS SOFTWARE CORP SYMBOL: VRTS	07/18/00	651.71	130.341	59.61	298.05	(353.66)	ST	
4		02/09/01	314.00	78.499	59.61	238.44	(75.56)	ST	
9			965.71	107.301		536.49	(429.22)		
20	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/18/00	910.53	45.526	30.2[illegible]	606.60	(304.93)	ST	.663 4.02
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A +	07/18/00	1,202.49	60.124	51.74	1,034.80	(167.69)	ST	.541 5.60
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	.61
							$ 0.00	LT	$ 413.18
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	.71
							$ 0.00	LT	$ 492.94

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
04/06/01	Sold	KOHLS CORP	-5	$ 56.413	$ 282.06
04/20/01	Bought	AFLAC INC	5	28.313	-141.57

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April 1 - April 30, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
04/20/01	Sold	INTEL CORP SALOMON SMITH BARNEY	-15	$ 25.656	$ 384.84
04/23/01	Bought	AFLAC INC	5	28.492	-142.46
04/23/01	Sold	INTEL CORP SALOMON SMITH BARNEY	-15	31.448	471.70
04/24/01	Sold	TYCO INTERNATIONAL LTD -NEW-	-5	51.243	256.21
Total securities bought and other subtractions					**$ -284.03**
Total securities sold and other additions					**$ 1,384.81**

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
04/20/01	CONSULTING & ADVISORY SERVICES FROM 04/01/01 TO 06/30/01		345.27				

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	**$ 685.48**
04/03/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	11.25
04/09/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	282.08
04/10/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.40
04/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	13.71
04/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-102.00

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
04/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	329.24
04/25/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	268.21
04/28/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	14.40
04/30/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	8.15
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.33
		Closing balance	**$ 1,704.23**

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
04/02/01	MBNA CORP	CASH DIV ON 60.0000 SHS	$ 5.40		$ 5.40
04/02/01	MERCK & CO INC	CASH DIV ON 15.0000 SHS	5.10		5.10
04/09/01	WAL-MART STORES INC	CASH DIV ON 20.0000 SHS	1.40		1.40
04/10/01	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	FOREIGN TAX W/HELD $ 2.42 CASH DIV ON 65.0000 SHS TAX HELD BY FGN GOVTS 2.42	16.13		13.71
04/26/01	GENERAL ELECTRIC CO	CASH DIV ON. 90.0000 SHS	14.40		14.40
04/27/01	MEDTRONIC INC	CASH DIV ON 25.0000 SHS	1.25		1.25

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Select Client Statement

May 1 - May 31, 2001

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LESLIE P GORDON [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
05/04/01	Bought	JOHNSON & JOHNSON	5	$ 97.372	$ -486.86
05/07/01	Bought	CARDINAL HEALTH INC	5	67.227	-336.14
05/18/01	Bought	AT&T CORP AT&T WIRELESS GROUP	10	19.005	-190.06
05/18/01	Sold	SCHERING PLOUGH CORP	-10	37.058	370.67
05/22/01	Sold	ORACLE CORP SALOMON SMITH BARNEY	-25	16.239	405.97
Total securities bought and other subtractions					**$ -1,013.06**
Total securities sold and other additions					**$ 776.64**

Money funds activity

Date	Activity	Description	Amount
	Opening money funds balance		**$ 1,704.23**
05/01/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	13.60
05/02/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	7.73
05/04/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-486.06
05/07/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-336.14
05/18/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	6.51

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
05/21/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	180.51
05/23/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	405.97
05/29/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	11.20
05/30/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	8.80
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.60
		Closing balance	**$ 1,519.96**

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
05/01/01	BRISTOL MYERS SQUIBB CO	CASH DIV ON 15.0000 SHS	$ 4.13		$ 4.13
05/01/01	PHARMACIA CORP	CASH DIV ON 30.0000 SHS	3.60		3.60
05/02/01	TYCO INTERNATIONAL LTD -NEW-	CASH DIV ON 65.0000 SHS TAX HELD BY FGN GOVTS .00	.81		.81
05/16/01	COLGATE PALMOLIVE CO	CASH DIV ON 35.0000 SHS	6.51		6.51
05/28/01	CITIGROUP INC	CASH DIV ON 80.0000 SHS	11.20		11.20
05/29/01	SCHERING PLOUGH CORP	CASH DIV ON 55.0000 SHS	8.80		8.80
Total dividends earned			**$ 34.05**	**$ 0.00**	**$ 34.05**

Money funds earnings

Date	Description	Comment	Taxable	Non-taxable	Amount
05/11/01	SB MONEY FUNDS CASH PORT CL A	REINVESTED FOR PERIOD 04/16/01-05/13/01 [redacted] DAYS AVERAGE YIELD 4.48 %.	$ 4.60		$ 4.60
Total earnings from money funds			**$ 4.60**	**$ 0.00**	**$ 4.60**

SALOMON SMITH BARNEY

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Select Client Statement

June 1 - June 30, 2001

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LESLIE P GORDON [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
06/18/01	Stk split	JOHNSON & JOHNSON STK SPLIT ON 5 SHS	5		$ 0.00
06/20/01	Bought	BAKER HUGHES INC	10	38.915	-389.15
06/20/01	Sold	JDS UNIPHASE CORP SALOMON SMITH BARNEY	-10	11.88	118.81
06/22/01	Bought	AT&T CORP AT&T WIRELESS GROUP	15	15.808	-237.12
06/22/01	Bought	COMCAST CORP CL A-SPL SALOMON SMITH BARNEY	5	41.469	-207.35
06/22/01	Sold	GENERAL ELECTRIC CO	-10	49.241	492.39
Total securities bought and other subtractions					$ -833.62
Total securities sold and other additions					$ 611.20

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 1,519.96
06/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.00
06/08/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	10.45
06/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.83
06/13/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.80

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
06/18/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.00
06/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-270.34
06/25/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	48.82
06/29/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.80
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	4.05
		Closing balance	$ 1,320.37

Dividends

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Date	Description	Comment		Taxable	Non-taxable	Amount
06/01/01	AFLAC INC	CASH DIV ON	10.0000 SHS	$ .50		$ .50
06/01/01	INTEL CORP	CASH DIV ON	25.0000 SHS	.50		.50
06/07/01	PFIZER INC	CASH DIV ON	95.0000 SHS	10.45		10.45
06/11/01	INTL BUSINESS MACHINES CORP	CASH DIV ON	5.0000 SHS	.70		.70
06/11/01	UNITED TECHNOLOGIES CORP	CASH DIV ON	5.0000 SHS	1.13		1.13
06/12/01	JOHNSON & JOHNSON	CASH DIV ON	5.0000 SHS	1.80		1.80
06/16/01	AMER INTERNATIONAL GROUP INC	CASH DIV ON	27.0000 SHS	1.00		1.00
06/22/01	HARLEY-DAVIDSON INC	CASH DIV ON	30.0000 SHS	.90		.90
06/28/01	HOME DEPOT INC	CASH DIV ON	45.0000 SHS	1.80		1.80
Total dividends earned				$ 18.78	$ 0.00	$ 18.78

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SALOMON SMITH BARNEY

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Select Client Statement

July 1 - July 31, 2001

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LESLIE P GORDON *Account nu*[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
07/06/01	Sold	COLGATE PALMOLIVE CO	-5	$ 59.692	$ 298.45
07/09/01	Exchange	AT&T CORP AT&T WIRELESS GROUP	-43		0.00
07/09/01	Exchange	AT&T WIRELESS SERVICES INC	43		0.00
07/17/01	Bought	COMCAST CORP CL A-SPL SALOMON SMITH BARNEY	4	37.948	-151.79
Total securities bought and other subtractions					$ -151.79
Total securities sold and other additions					$ 298.45

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
07/20/01	CONSULTING & ADVISORY SERVICES FROM 07/01/01 TO 09/30/01		380.49				

Money funds activity

	Opening money funds balance		$ 1,320.37
Date	Activity	Description	Amount
07/03/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	10.60
07/09/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	298.45
07/10/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.40
07/17/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-151.66

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
07/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-380.49
07/26/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	12.80
07/30/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	8.34
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	5.11
		Closing balance	$ 1,124.82

Dividends

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Date	Description	Comment		Taxable	Non-taxable	Amount
07/02/01	MBNA CORP	CASH DIV ON	60.0000 SHS	$ 5.40		$ 5.40
07/02/01	MERCK & CO INC	CASH DIV ON	15.0000 SHS	5.10		5.10
07/08/01	WAL-MART STORES INC	CASH DIV ON	20.0000 SHS	1.40		1.40
07/16/01	CARDINAL HEALTH INC	CASH DIV ON	5.0000 SHS	.13		.13
07/26/01	GENERAL ELECTRIC CO	CASH DIV ON	80.0000 SHS	12.80		12.80
07/27/01	MEDTRONIC INC	CASH DIV ON	25.0000 SHS	1.44		1.44
07/27/01	MORGAN STANLEY DEAN WITTER CO NEW	CASH DIV ON	30.0000 SHS	6.90		6.90
07/31/01	JP MORGAN CHASE & CO	CASH DIV ON	40.0000 SHS	13.60		13.60
Total dividends earned				$ 46.77	$ 0.00	$ 46.77

SALOMON SMITH BARNEY
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Select Client Statement

September 1 - September 30, 2001

[redacted]

LESLIE P GORDON *Account num* [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A +	07/18/00	$ 1,202.49	$ 60.124	$ 49.50	$ 990.00	($ 212.49)	LT	.565 % $ 5.60
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	.60
							[redacted]	LT	$ 415.96
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	.64
							[redacted]	LT	$ 440.17

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
09/04/01	Bought	AMER INTERNATIONAL GROUP INC	4	$ 78.055	$ -312.22
09/07/01	Bought	BEA SYSTEMS INC SALOMON SMITH BARNEY	6	16.768	-100.64
09/07/01	Bought	JUNIPER NETWORKS INC SALOMON SMITH BARNEY	12	13.986	-167.83
09/07/01	Bought	VERITAS SOFTWARE CORP SALOMON SMITH BARNEY	6	28.922	-173.53
09/07/01	Sold	VODAFONE GROUP PLC SP ADR	-20	20.535	410.71
09/25/01	Sold	COLGATE PALMOLIVE CO	-5	54.758	273.78
09/28/01	Bought	AOL TIME WARNER INC	5	32.139	-160.70
Total securities bought and other subtractions					$ -914.82
Total securities sold and other additions					$ 684.49

Money funds activity

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
		Opening money funds balance	$ 1,221.60
09/04/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-311.22
09/07/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-20.74
09/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.83
09/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.80
09/14/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.80
09/17/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.13
09/28/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	273.78
09/28/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-159.80
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	3.27
		Closing balance	$ 1,013.35

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October 1 - October 31, 2001

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LESLIE P GORDON [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
10/23/01	Bought	AOL TIME WARNER INC	10	$ 30.121	$ -301.21
10/26/01	Bought	CARDINAL HEALTH INC	5	71.72	-358.60
10/26/01	Sold	PMC SIERRA INC SALOMON SMITH BARNEY	-7	16.672	116.70
10/29/01	Sold	COLGATE PALMOLIVE CO	-2	58.386	116.77
Total securities bought and other subtractions					**$ -659.81**
Total securities sold and other additions					**$ 233.47**

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
10/19/01	CONSULTING & ADVISORY SERVICES FROM 10/01/01 TO 12/31/01		299.62				

Money funds activity

	Opening money funds balance		**$ 1,013.38**	*All transactions are traded at $1 00 per share.*			
Date	Activity	Description	Amount	Date	Activity	Description	Amount
10/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	10.65	10/23/01	Redemption	SB MONEY FUNDS CASH PORT CL A	301.21
10/10/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.40	10/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-220.78
10/19/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-299.69	10/30/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	116.77
						MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	2.08
						Closing balance	**$ 322.59**

Dividends

Earnings details

The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Date	Description	Comment	Taxable	Non-taxable	Amount
10/01/01	MBNA CORP	CASH DIV ON 60.0000 SHS	$ 5.40		$ 5.40
10/01/01	MERCK & CO INC	CASH DIV ON 15.0000 SHS	5.25		5.25
10/09/01	WAL-MART STORES INC	CASH DIV ON 20.0000 SHS	1.40		1.40
10/15/01	CARDINAL HEALTH INC	CASH DIV ON 5.0000 SHS	.13		.13
10/25/01	GENERAL ELECTRIC CO	CASH DIV ON 80.0000 SHS	12.80		12.80
10/26/01	MEDTRONIC INC	CASH DIV ON 25.0000 SHS	1.44		1.44
10/26/01	MORGAN STANLEY DEAN WITTER CO NEW	CASH DIV ON 30.0000 SHS	6.90		6.90
10/31/01	JP MORGAN CHASE & CO	CASH DIV ON 40.0000 SHS	13.60		13.60
Total dividends earned			$ 46.92	$ 0.00	$ 46.92

SALOMON SMITH BARNEY

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Select Client Statement

November 1 - November 30, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
5	UNITED TECHNOLOGIES CORP SYMBOL: UTX/RATING: B +	07/18/00	$ 295.15	$ 59.03	$ 60.20	$ 301.00	$ 5.85 LT	1.495 % $ 4.50
5	VERITAS SOFTWARE CORP SYMBOL: VRTS	07/18/00	651.71	130.341	38.89	194.45	(457.26) LT	
4		02/09/01	314.00	78.499	38.89	155.56	(158.44) ST	
6		09/04/01	173.53	28.922	38.89	233.34	59.81 ST	
15			1,139.24	75.949		583.35	(555.89)	
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A +	07/18/00	1,202.49	60.124	55.15	1,103.00	(99.49) LT	.507 5.60
Total common stocks and options			[redacted]			[redacted]	[redacted] ST	56
							[redacted] LT	$ 410.84
Total portfolio value			[redacted]			[redacted]	[redacted] ST	67
							[redacted] LT	$ 422.27

Investment activity

Transaction details

All dates of transactions appearing on this statement are settlement dates.

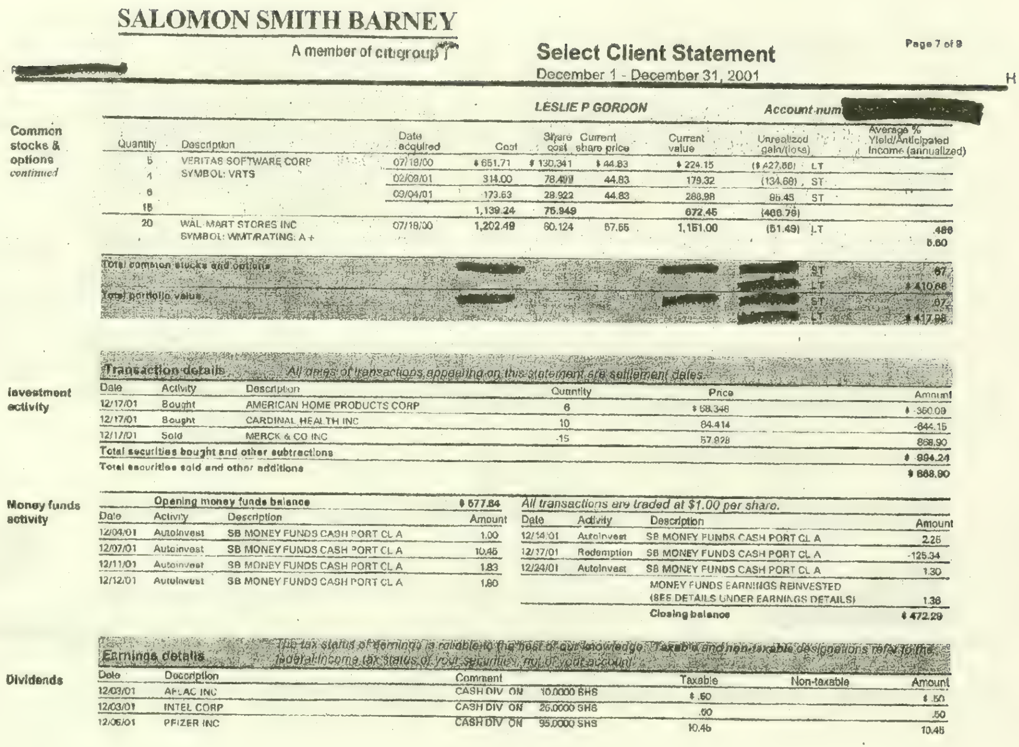
Date	Activity	Description	Quantity	Price	Amount
11/08/01	Bought	CARDINAL HEALTH INC	4	$ 66.607	$ -266.43
11/08/01	Sold	CITIGROUP INC SALOMON SMITH BARNEY IS A CITIGROUP OWNED CO.	-10	47.234	472.32
Total securities bought and other subtractions					$ -266.43
Total securities sold and other additions					$ 472.32

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 322.59
11/01/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	13.60
11/02/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	8.93
11/09/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	205.89
11/16/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	4.50

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
11/23/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	12.80
11/28/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	1.16
11/28/01	AutoInvest	SB MONEY FUNDS CASH PORT CL A	7.20
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	.98
		Closing balance	$ 577.64



SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON Account num [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
5	VERITAS SOFTWARE CORP	07/18/00	$ 651.71	$ 130.341	$ 44.83	$ 224.15	($ 427.56)	LT	
4	SYMBOL: VRTS	02/08/01	314.00	78.499	44.83	179.32	(134.68)	ST	
6		09/04/01	173.63	28.922	44.83	268.98	95.45	ST	
15			1,139.24	75.949		672.45	(466.79)		
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A+	07/18/00	1,202.49	60.124	57.55	1,151.00	(51.49)	LT	.486 5.60
Total common stocks and options			[redacted]			[redacted]	[redacted]	ST	.67
							[redacted]	LT	$ 410.66
Total portfolio value			[redacted]			[redacted]	[redacted]	ST	.67
							[redacted]	LT	$ 417.98

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Date	Activity	Description	Quantity	Price	Amount
12/17/01	Bought	AMERICAN HOME PRODUCTS CORP	6	$ 58.348	$ -350.09
12/17/01	Bought	CARDINAL HEALTH INC	10	64.414	-644.15
12/17/01	Sold	MERCK & CO INC	-15	57.928	868.90
Total securities bought and other subtractions					$ -994.24
Total securities sold and other additions					$ 868.90

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 577.84
12/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.00
12/07/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	10.45
12/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.83
12/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.80

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/14/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	2.25
12/17/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-125.34
12/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.30
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	1.38
		Closing balance	$ 472.29

Dividends

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Date	Description	Comment	Taxable	Non-taxable	Amount
12/03/01	AFLAC INC	CASH DIV ON 10.0000 SHS	$ .50		$ .50
12/03/01	INTEL CORP	CASH DIV ON 25.0000 SHS	.50		.50
12/05/01	PFIZER INC	CASH DIV ON 95.0000 SHS	10.45		10.45

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Ref: [redacted]

Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON ***Account number*** [redacted]

Cash, Money funds and Bank deposits

	This period	This year
Opening balance	$ 577.64	
Securities bought and other subtractions	-994.24	
Securities sold and other additions	868.90	
Withdrawals	0.00	-1,450.89
Dividends credited	19.63	
Money funds earnings reinvested	1.36	
Closing balance	[redacted]	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary

	This period	Year-to-date
Opening value of securities	[redacted]	[redacted]
+ Opening cash balance	0.00	1.15
= Opening portfolio balance	[redacted]	[redacted]
Securities deposited/withdrawn net	0.00	0.00
Capital deposited/withdrawn net	0.00	[redacted]
Adjusted opening value	[redacted]	[redacted]
Closing value of securities	[redacted]	[redacted]
+ Closing cash balance	[redacted] .90	.90
= Closing portfolio value	[redacted]	[redacted]

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.
Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account℠ transfers.

Portfolio details — The values of your holdings are as of 12/31/01.

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

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Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated Income (annualized)
472.29	SB MONEY FUNDS CASH PORT CL A	$ 472.29		1.55 % $ 7.32
Total money funds		$ 472.29	$ 0.00	1.54 $ 7.32

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
5	AMDOCS LTD	07/24/00	$ 388.38	$ 77.676	$ 33.97	$ 169.85	($ 218.53) LT	
5	SYMBOL: DOX	08/14/00	319.40	63.879	33.97	169.85	(149.55) LT	
3		09/12/00	204.11	68.038	33.97	101.91	(102.20) LT	

Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON Ac[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
6	AMDOCS LTD	02/14/01	$ 405.12	$ 67.52	$ 33.97	$ 203.82	($ 201.30)	ST	
19	SYMBOL: DOX		**1,317.01**	**69.316**		**645.43**	**(671.58)**		
10	FLEXTRONICS INTL LTD USD	09/13/00	404.65	40.465	23.99	239.90	(164.75)	LT	
10	SYMBOL: FLEX	09/22/00	417.70	41.77	23.99	239.90	(177.80)	LT	
10		10/06/00	368.76	36.876	23.99	239.90	(128.86)	LT	
5		12/11/00	163.78	32.756	23.99	119.95	(43.83)	LT	
35			**1,354.89**	**38.711**		**839.65**	**(515.24)**		
5	AFLAC INC	04/17/01	141.57	28.313	24.56	122.80	(18.77)	ST	
5	SYMBOL: AFL/RATING: A +	04/18/01	142.46	28.492	24.56	122.80	(19.66)	ST	
10			**284.03**	**28.403**		**245.60**	**(38.43)**		**.814** 2.00
22.2	AOL TIME WARNER INC	07/18/00	1,325.36	59.70	32.10	712.62	(612.74)	LT	
15	SYMBOL: AOL/RATING: B	07/18/00	916.57	61.104	32.10	481.50	(435.07)	LT	
14.8		10/18/00	675.60	45.648	32.10	475.08	(200.52)	LT	
5		09/25/01	160.70	32.139	32.10	160.50	(.20)	ST	
10		10/18/01	301.21	30.121	32.10	321.00	19.79	ST	
67			**3,379.44**	**50.439**		**2,150.70**	**(1,228.74)**		
18	AT&T WIRELESS SERVICES INC	07/18/00	478.11	26.561	14.37	258.66	(219.45)	LT	
10	SYMBOL: AWE	05/15/01	190.06	19.006	14.37	143.70	(46.36)	ST	
15		06/19/01	237.12	15.808	14.37	215.55	(21.57)	ST	
43			**905.29**	**21.053**		**617.91**	**(287.38)**		
60	ALTERA CORP	07/18/00	3,613.40	60.223	21.22	1,273.20	(2,340.20)	LT	
5	SYMBOL: ALTR/RATING: B	10/10/00	148.46	29.692	21.22	106.10	(42.36)	LT	
65			**3,761.86**	**57.875**		**1,379.30**	**(2,382.56)**		
6	AMERICAN HOME PRODUCTS CORP SYMBOL: AHP/RATING: B	12/12/01	**350.09**	58.348	61.36	**368.16**	**18.07**	ST	**1.499** **5.52**
27	AMER INTERNATIONAL GROUP INC	07/18/00	2,142.63	79.356	79.40	2,143.80	1.17	LT	
4	SYMBOL: AIG/RATING: A +	08/23/01	312.22	78.055	79.40	317.60	5.38	ST	
31			**2,454.85**	**79.189**		**2,461.40**	**6.55**		**.211** **5.21**
6	APPLIED MICROCIRCUITS CORP	02/06/01	334.20	55.699	11.32	67.92	(266.28)	ST	
4	SYMBOL: AMCC	02/07/01	194.64	48.66	11.32	45.28	(149.36)	ST	
2		02/15/01	89.54	44.768	11.32	22.64	(66.90)	ST	
5		03/07/01	149.48	29.896	11.32	56.60	(92.88)	ST	
17			**787.86**	**45.168**		**192.44**	**(575.42)**		

SALOMON SMITH BARNEY

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December 1 - December 31, 2001

Ref: [redacted]

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LESLIE P GORDON

A[redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
10	BAKER HUGHES INC SYMBOL: BHI/RATING: B-	06/15/01	$389.15	$38.915	$36.47	$364.70	($24.45)	ST	1.261% $4.60
4	BEA SYSTEMS INC SYMBOL: BEAS	02/09/01	208.38	52.094	15.40	61.60	(146.78)	ST	
4		02/16/01	210.13	52.531	15.40	61.60	(148.53)	ST	
2		02/22/01	76.27	38.135	15.40	30.80	(45.47)	ST	
2		03/02/01	70.64	35.321	15.40	30.80	(39.84)	ST	
6		09/04/01	100.54	16.756	15.40	92.40	(8.14)	ST	
18			665.96	36.998		277.20	(388.76)		
15	BRISTOL MYERS SQUIBB CO SYMBOL: BMY/RATING: A	07/18/00	759.18	50.612	51.00	765.00	5.82	LT	2.196 16.80
5	CARDINAL HEALTH INC SYMBOL: CAH/RATING: A	05/02/01	336.14	67.227	64.66	323.30	(12.84)	ST	
5		10/23/01	358.60	71.72	64.66	323.30	(35.30)	ST	
4		11/05/01	266.43	66.607	64.66	258.64	(7.79)	ST	
10		12/12/01	644.15	64.414	64.66	646.60	2.45	ST	
24			1,605.32	66.888		1,551.84	(53.48)		.154 2.40
85	CISCO SYS INC SYMBOL: CSCO/RATING: B +	07/18/00	5,761.39	67.781	18.11	1,539.35	(4,222.04)	LT	
5		09/25/00	293.54	58.708	18.11	90.55	(202.99)	LT	
5		10/05/00	288.07	57.613	18.11	90.55	(197.52)	LT	
10		02/20/01	268.50	26.849	18.11	181.10	(87.40)	ST	
105			6,611.50	62.967		1,901.55	(4,709.95)		
70	CITIGROUP INC SYMBOL: C/RATING: A	07/18/00	3,455.72	49.367	50.48	3,533.60	77.88	LT	1.267 44.80
23	COLGATE PALMOLIVE CO SYMBOL: CL/RATING: A	07/18/00	1,268.05	55.132	57.75	1,328.25	60.20	LT	1.246 16.56
20	COMCAST CORP CL A-SPL SYMBOL: CMCSK/RATING: B-	07/18/00	746.09	37.304	36.00	720.00	(26.09)	LT	
5		06/19/01	207.35	41.469	36.00	180.00	(27.35)	ST	
4		07/12/01	151.79	37.946	36.00	144.00	(7.79)	ST	
29			1,105.23	38.111		1,044.00	(61.23)		
65	DELL COMPUTER CORP SYMBOL: DELL/RATING: B +	07/18/00	3,509.72	53.995	27.18	1,766.70	(1,743.02)	LT	
5	EMC CORP-MASS SYMBOL: EMC/RATING: B +	09/29/00	498.86	99.771	13.44	67.20	(431.66)	LT	
5		10/04/00	446.05	89.21	13.44	67.20	(378.85)	LT	
5		10/10/00	454.42	90.883	13.44	67.20	(387.22)	LT	
15			1,399.33	93.289		201.60	(1,197.73)		

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LESLIE P GORDON

Account num [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated income (annualized)
75	GENERAL ELECTRIC CO SYMBOL: GE/RATING: A +	07/18/00	$ 3,964.67	$ 52.862	$ 40.08	$ 3,006.00	($ 958.67)	LT	
5		10/31/00	272.12	54.424	40.08	200.40	(71.72)	LT	
80			4,236.78	52.96		3,206.40	(1,030.39)		1.796 57.60
30	HARLEY-DAVIDSON INC SYMBOL: HDI/RATING: A-	07/18/00	1,309.59	43.653	64.31	1,929.30	619.71	LT	.22 3.00
45	HOME DEPOT INC SYMBOL: HD/RATING: A +	07/18/00	2,599.17	57.759	51.01	2,295.45	(303.72)	LT	.392 9.00
25	INTEL CORP SYMBOL: INTC/RATING: A	07/18/00	1,781.38	71.255	31.45	786.25	(995.13)	LT	.254 2.00
5	INTL BUSINESS MACHINES CORP SYMBOL: IBM/RATING: B	07/18/00	517.03	103.406	120.96	604.80	87.77	LT	.462 2.80
40	JP MORGAN CHASE & CO SYMBOL: JPM/RATING: B +	07/18/00	2,024.27	50.606	36.35	1,454.00	(570.27)	LT	3.741 54.40
10	JOHNSON & JOHNSON SYMBOL: JNJ/RATING: A +	06/01/01	486.86	48.686	59.10	591.00	104.14	ST	1.218 7.20
2	JUNIPER NETWORKS INC SYMBOL: JNPR	01/22/01	259.06	129.531	18.95	37.90	(221.16)	ST	
2		01/23/01	252.42	126.21	18.95	37.90	(214.52)	ST	
2		02/16/01	165.01	82.505	18.95	37.90	(127.11)	ST	
12		09/04/01	157.83	13.153	18.95	227.40	69.57	ST	
18			834.32	46.351		341.10	(493.22)		
35	KOHLS CORP SYMBOL: KSS/RATING: A-	07/18/00	2,258.87	64.539	70.44	2,465.40	206.53	LT	
5		10/31/00	271.64	54.328	70.44	352.20	80.56	LT	
40			2,530.51	63.263		2,817.60	287.09		
35	KROGER CO SYMBOL: KR/RATING: B +	07/18/00	748.59	21.388	20.87	730.45	(18.14)	LT	
150	LIBERTY MEDIA CORP A SYMBOL: LMCA	07/18/00	3,731.43	24.876	14.00	2,100.00	(1,631.43)	LT	
60	MBNA CORP SYMBOL: KRB/RATING: A +	07/18/00	1,850.19	30.836	35.20	2,112.00	261.81	LT	1.022 21.60

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
25	MEDTRONIC INC SYMBOL: MDT/RATING: A	07/18/00	$ 1,285.20	$ 51.408	$ 51.21	$ 1,280.25	($ 4.95)	LT	.449% $ 5.75
35	MICROSOFT CORP SYMBOL: MSFT/RATING: B +	07/18/00	2,750.79	78.594	66.25	2,318.75	(432.04)	LT	
30	MORGAN STANLEY DEAN WITTER CO NEW SYMBOL: MWD/RATING: A-	07/18/00	2,747.99	91.599	55.94	1,678.20	(1,069.79)	LT	1.644 27.60
65	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH SYMBOL: NOK	07/18/00	3,626.12	55.786	24.53	1,594.45	(2,031.67)	LT	.86 13.72
35	ORACLE CORP SYMBOL: ORCL/RATING: B +	07/18/00	1,326.03	37.886	13.81	483.35	(842.68)	LT	
95	PFIZER INC SYMBOL: PFE/RATING: A +	07/18/00	4,270.66	44.954	39.85	3,785.75	(484.91)	LT	1.304 49.40
15	PHARMACIA CORP SYMBOL: PHA/RATING: B	01/10/01	837.52	55.834	42.65	639.75	(197.77)	ST	
15		02/21/01	732.60	48.84	42.65	639.75	(92.85)	ST	
30			1,570.12	52.337		1,279.50	(290.62)		1.266 16.20
45	SCHERING PLOUGH CORP SYMBOL: SGP/RATING: A +	07/18/00	2,067.98	45.955	35.81	1,611.45	(456.53)	LT	1.787 28.80
80	SOLECTRON CORP SYMBOL: SLR/RATING: B +	07/18/00	3,737.02	46.712	11.28	902.40	(2,834.62)	LT	
20	SUN MICROSYSTEMS INC SYMBOL: SUNW/RATING: B +	07/18/00	961.45	48.072	12.30	246.00	(715.45)	LT	
60	TYCO INTERNATIONAL LTD -NEW- SYMBOL: TYC/RATING: B	07/18/00	3,206.47	53.441	58.90	3,534.00	327.53	LT	.084 3.00
5	UNITED TECHNOLOGIES CORP SYMBOL: UTX/RATING: B +	07/18/00	295.15	59.03	64.63	323.15	28.00	LT	1.392 4.50

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
5	VERITAS SOFTWARE CORP	07/18/00	$ 651.71	$ 130.341	$ 44.83	$ 224.15	($ 427.56)	LT	
4	SYMBOL: VRTS	02/09/01	314.00	78.499	44.83	179.32	(134.68)	ST	
6		09/04/01	173.53	28.922	44.83	268.98	95.46	ST	
15			1,159.24	76.049		672.45	(466.79)		
20	WAL-MART STORES INC SYMBOL: WMT/RATING: A+	07/18/00	1,202.49	60.124	57.55	1,151.00	(51.49)	LT	.486 6.60
Total common stocks and options			[redacted]			[redacted]	[redacted] [redacted]	ST LT	.67 $ 10.66
Total portfolio value			[redacted]			[redacted]	[redacted] [redacted]	ST LT	.67 $ [illegible]

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Date	Activity	Description	Quantity	Price	Amount
12/17/01	Bought	AMERICAN HOME PRODUCTS CORP	6	$ 58.348	$ -350.09
12/17/01	Bought	CARDINAL HEALTH INC	10	64.414	-644.15
12/17/01	Sold	MERCK & CO INC	-15	57.928	868.90
Total securities bought and other subtractions					**$ -994.24**
Total securities sold and other additions					**$ 868.90**

Money funds activity

	Opening money funds balance		$ 577.64
Date	Activity	Description	Amount
12/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.00
12/07/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	10.46
12/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.83
12/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.80

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/14/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	2.26
12/17/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-125.34
12/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.30
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	1.36
		Closing balance	**$ 472.29**

Dividends

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Date	Description	Comment	Taxable	Non-taxable	Amount
12/03/01	AFLAC INC	CASH DIV ON 10.0000 SHS	$ .50		$ .50
12/03/01	INTEL CORP	CASH DIV ON 25.0000 SHS	.50		.50
12/06/01	PFIZER INC	CASH DIV ON 95.0000 SHS	10.45		10.45

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Forms 1099 for 2001

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LESLIE P GORDON

Account Number [redacted] [redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3789
Em[redacted]

LESLIE P GORDON
2527 BELMONT RD, NW
WASHINGTON DC
20008-1813

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-DIV Dividends and Distributions 2001 (OMB No 1545-0110)

Ordinary dividends	Total capital gain distributions	28% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
$ 459.51 Box 1	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal Income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
Box 3	Box 4	Box 5	$ 2.87 Box 6	Various Box 7	Box 8	Box 9

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LESLIE P GORDON
Account Number [redacted]

[redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3789
[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 [redacted]

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000400	01/11/01	00184A105000		AOL TIME WARNER INC		$ 23.16	
120003200	11/06/01	172967101000	10	CITIGROUP INC	47.234	472.32	
120003300	07/02/01	194162103000	5	COLGATE PALMOLIVE CO	59.692	298.46	
120003400	09/20/01	194162103000	5	COLGATE PALMOLIVE CO	54.758	273.78	
120003500	10/24/01	194162103000	2	COLGATE PALMOLIVE CO	58.386	116.77	
120003800	02/01/01	247025109000	15	DELL COMPUTER CORP	25.86	387.89	
120003900	06/19/01	369604103000	10	GENERAL ELECTRIC CO	49.241	492.39	
120004000	02/14/01	437076102000	5	HOME DEPOT INC	46.323	226.61	
120004100	02/21/01	458140100000	25	INTEL CORP	31.841	796.00	
120004200	03/07/01	458140100000	10	INTEL CORP	32.956	329.54	
120004300	04/17/01	458140100000	15	INTEL CORP	25.656	384.84	
120004400	04/18/01	458140100000	15	INTEL CORP	31.448	471.70	
120004500	02/09/01	459200101000	5	INTL BUSINESS MACHINES CORP	112.904	564.50	
120004600	06/15/01	46612J101000	10	JDS UNIPHASE CORP	11.88	118.81	
120005300	04/03/01	500255104000	5	KOHLS CORP	56.413	282.08	
120005500	02/13/01	580031201000		MCDATA CORP CLASS A		20.93	

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Forms 1099 for 2001

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LESLIE P GORDON
[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 - *continued* (OMB 1545-0715)

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120005600	12/12/01	589331107000	16	MERCK & CO INC	$ 57.928	$ 888.90	
120005700	01/18/01	656568102001	5	NORTEL NETWORKS CORP NEW	35.865	179.27	
120005800	02/16/01	656568102001	20	NORTEL NETWORKS CORP NEW	19.86	397.19	
120005900	05/17/01	68389X105000	25	ORACLE CORP	16.239	405.97	
120006000	01/24/01	69344F106000	4	PMC SIERRA INC	109.531	438.12	
120006100	10/23/01	69344F106000	7	PMC SIERRA INC	16.672	116.70	
120006400	06/15/01	806605101000	10	SCHERING PLOUGH CORP	37.058	370.57	
120006600	04/19/01	902124106001	5	TYCO INTERNATIONAL LTD -NEW-	51.243	256.21	
120006700	02/06/01	913017109000	5	UNITED TECHNOLOGIES CORP	74.496	372.47	
120007000	09/04/01	92857W100001	20	VODAFONE GROUP PLC SP ADR	20.535	410.71	
120007200	08/08/01	98956P102000	1	ZIMMER HOLDINGS INC	28.214	28.21	
Totals						$ 9,104.09	

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2001 Year End Summary

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LESLIE P GORDON

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Details of 1099 Reported Dividends and Distributions 2001: Boxes 1- 2e

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	AFLAC INC	$ 1.50						
150000200	AMER INTERNATIONAL GROUP INC	4.43						
150000300	BAKER HUGHES INC	2.30						
150000400	BRISTOL MYERS SQUIBB CO	16.52						
150000500	CARDINAL HEALTH INC	.26						
150000600	CITIGROUP INC	48.00						
150000700	COLGATE PALMOLIVE CO	20.92						
150000800	GENERAL ELECTRIC CO	64.40						
150000900	HARLEY-DAVIDSON INC	3.45						
150001000	HOME DEPOT INC	7.65						
150001100	INTEL CORP	3.30						
150001200	INTL BUSINESS MACHINES CORP	3.40						
150001300	JP MORGAN CHASE & CO	53.60						
150001400	JOHNSON & JOHNSON	5.40						
150001500	MBNA CORP	21.00						
150001600	MEDTRONIC INC	5.38						
150001700	MERCK & CO INC	20.58						
150001800	MORGAN STANLEY DEAN WITTER CO NEW	27.60						
150001900	*** NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	16.13						
150002000	PFIZER INC	41.80						
150002100	PHARMACIA CORP	11.70						
150002200	SCHERING PLOUGH CORP	30.30						
150002300	SB MONEY FUNDS CASH PORT CL A	41.82						
150002400	*** TYCO INTERNATIONAL LTD -NEW-	3.12						
150002500	UNITED TECHNOLOGIES CORP	4.52						

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY

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Select Client Statement
2001 Year End Summary

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LESLIE P GORDON

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Details of 1099 Reported Dividends and Distributions 2001 Boxes 1 - 2e - *continued*

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
160002600	*** VODAFONE GROUP PLC SP ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	$ 4.46						
160002700	WAL-MART STORES INC	5.40						
Totals		$ 459.51						

* *The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.*

Details of 1099 Reported Dividends and Distributions 2001 Boxes 3 - 9

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
160001900	*** NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 2.42			
160002600	*** VODAFONE GROUP PLC SP ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.45			
Totals					$ 2.87			

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY (G)

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Client Statement

January 1 - January 31, 2001

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LESLIE P GORDON

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Anticipated annual income

This value is a grand total of all the anticipated annual income amounts that are shown on the statement.

Total anticipated income (annualized)	**$ 2,469.68**

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
01/08/01	Bought	TIME WARNER INC	10	$ 55.657	$ -556.58
01/09/01	Bought	PIER 1 IMPORTS INC-DEL	110	9.556	-1,051.23
01/11/01	Bought	FOX ENTERTAINMENT GROUP INC CLASS A	10	19.384	-193.84
01/12/01	Bought	INTEL CORP SALOMON SMITH BARNEY	10	32.615	-326.16
01/12/01	Bought	LSI LOGIC CORP	10	20.225	-202.25
01/12/01	Bought	NEXTEL COMMUNICATIONS INC CL A SALOMON SMITH BARNEY	10	26.074	-260.74
01/16/01	Merger	AOL TIME WARNER INC	15		0.00
01/16/01	Merger	TIME WARNER INC	-10		0.00
01/19/01	Bought	HEWLETT PACKARD CO	20	30.181	-603.62
01/23/01	Bought	HEWLETT PACKARD CO	10	33.575	-335.75
01/26/01	Bought	AT&T CORP	20	23.203	-464.07
01/30/01	Bought	MBIA INC	6	68.923	-413.54
01/30/01	Bought	USX MARATHON GROUP	39	27.363	-1,067.18
01/30/01	Bought	VARCO INTL INC DEL	32	20.085	-642.73
01/31/01	Bought	FLUOR CORP NEW	4	33.245	-132.98
01/31/01	Bought	HEALTH MGMT ASSOC INC CL A	64	16.712	-1,069.59
01/31/01	Bought	MBIA INC	10	68.941	-689.42
01/31/01	Sold	ROUSE CO	-24	26.75	641.98
01/31/01	Bought	VARCO INTL INC DEL	14	20.111	-281.57
Total securities bought and other subtractions					**$ -8,290.23**
Total securities sold and other additions					**$ 641.98**

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
01/19/01	INVESTMENT & ADVISORY SERVICES FROM 01/01/01 TO 03/31/01		579.17				

SALOMON SMITH BARNEY
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Client Statement

February 1 - February 28, 2001

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LESLIE P GORDON Account numbe[redacted]

Stocks *continued*

Common stocks	Exchange	No. of shares	Price	Yield	Anticipated income (annualized)	U.S. Dollar Market value	Comment
WEYERHAEUSER CO	NYSE	30	$ 63.74	2.977%	$ 48.00	$ 1,612.20	Symbol: WY\Rated: B +
WORLDCOM INC GA-NEW	OTC	80	16.625			1,330.00	Symbol: WCOM\Rated: B
Total stocks					$ 1,060.36	$ 71,628.57	

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

U. S. Government and Federal Agency bonds	Amount	Interest rate	Maturity date	Price/ Accrued interest	Anticipated income (annualized)	Market value	Comment
U S TREASURY NOTES SER G 2007 DTD 2/15/1997	$ 10,000.00	6.25%	02/15/07	107.281 22.44	$ 626.00	$ 10,728.10	
U S TREASURY NOTES SER C 2008 DTD 5/15/1998	15,000.00	5.625	05/15/08	104.156 244.73	843.76	15,623.40	
Total bonds	$ 25,000.00			$ 267.17	$ 1,469.76	$ 26,351.50	

Anticipated annual income

This value is a grand total of all the anticipated annual income amounts that are shown on the statement.

Total anticipated income (annualized)	$ 2,529.10

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
02/01/01	Bought	VARCO INTL INC DEL	10	$ 20.272	$ -202.73
02/02/01	Bought	MOBILE TELESYSTEMS OJSC-RU ADR	20	29.016	-580.33
02/06/01	Bought	MURPHY OIL CORP	10	57.937	-579.38
02/06/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	16	34.656	-554.51
02/08/01	Bought	PHILLIPS PETROLEUM CO	10	52.394	-523.95
02/09/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	4	34.759	-139.04
02/12/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	10	36.489	-364.89
02/12/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	30	8.337	-250.12

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Client Statement
February 1 - February 28, 2001

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LESLIE P GORDON [redacted]

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Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
02/20/01	Sold	LUCENT TECHNOLOGIES INC	-100	$ 12.717	$ 1,271.72
02/21/01	Sold	ALCOA INC	-10	38.311	383.11
02/21/01	Bought	CATERPILLAR INC	10	44.667	-446.68
02/28/01	Bought	ICN PHARMACEUTICALS INC-NEW	20	25.703	-514.07
02/28/01	Bought	SCHERING PLOUGH CORP	10	42.999	-430.00
02/27/01	Bought	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	10	22.936	-229.36
02/27/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	10	7.371	-73.71
02/28/01	Bought	HASBRO INC	30	12.556	-376.70
Total securities bought and other subtractions					$ -5,265.47
Total securities sold and other additions					$ 1,634.83

Money funds activity

	Opening money funds balance		$ 9,486.04
Date	Activity	Description	Amount
02/01/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-199.20
02/02/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-566.33
02/06/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,133.69
02/08/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-523.95
02/09/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-139.04
02/12/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-614.37

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
02/16/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	4.40
02/16/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	319.70
02/21/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1,195.65
02/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-936.07
02/27/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-303.07
02/28/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-346.40
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	49.00
		Closing balance	$ 6,293.47

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Interest credited

Date	Description	Comment	Taxable	Non-taxable	Amount
02/15/01	U S TREASURY NOTES SER E 2007 DTD 2/15/1997 DUE 02/15/2007 RATE 6.250	REG INT ON 10000 BND PAYABLE 02/15/01	$ 312.50		$ 312.50
Total interest earned			$ 312.50	$ 0.00	$ 312.50

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
02/01/01	AT&T CORP	CASH DIV ON 30.0000 SHS	$ 1.13		$ 1.13
02/01/01	PHARMACIA CORP	CASH DIV ON 20.0000 SHS	2.40		2.40
02/02/01	SPIEKER PPTYS INC	CASH DIV ON 20.0000 SHS	14.00		14.00
02/12/01	TEXAS INSTRUMENTS INC	CASH DIV ON 30.0000 SHS	.64		.64

SALOMON SMITH BARNEY

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Client Statement

March 1 - March 31, 2001

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LESLIE P GORDON [redacted]

Stocks *continued*

Common stocks	Exchange	No. of shares	Price	Yield	Anticipated income (annualized)	U.S. Dollar Market value	Comment
WEYERHAEUSER CO	NYSE	30	$ 50.79	3.15%	$ 49.00	$ 1,523.70	Symbol: WY\Rated: B +
WORLDCOM INC GA-NEW	OTC	80	18.688			1,496.04	Symbol: WCOM\Rated: B
Total stocks					[illegible]	[redacted]	

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

U. S. Government and Federal Agency bonds	Amount	Interest rate	Maturity date	Price/ Accrued Interest	Anticipated income (annualized)	Market value	Comment
U S TREASURY NOTES SER G 2007 DTD 2/18/1997	$ 10,000.00	6.25%	02/15/07	107.688 74.24	$ 625.00	$ 10,768.80	
U S TREASURY NOTES SER C 2008 DTD 5/15/1998	15,000.00	5.625	05/15/08	104.406 314.65	843.75	15,660.90	
Total bonds	[illegible]			[illegible]	[illegible]	$ 26,429.70	

Anticipated annual income

This value is a grand total of all the anticipated annual income amounts that are shown on the statement.

Total anticipated income (annualized)	$ 2,566.74

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
03/01/01	Sold	NEXTEL COMMUNICATIONS INC CL A SALOMON SMITH BARNEY TRADE AS OF 02/28/01	-10	$ 23.799	$ 237.99
03/01/01	Bought	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	10	22.457	-224.58
03/15/01	Bought	LSI LOGIC CORP	10	18.223	-182.23
03/16/01	Bought	PACCAR INC -DEL- SALOMON SMITH BARNEY	10	47.175	-471.75
03/20/01	Bought	SYMANTEC CORP SALOMON SMITH BARNEY	10	45.058	-450.58
03/22/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	1	6.53	-6.53
03/22/01	Bought	SCHERING PLOUGH CORP TRADE AS OF 03/19/01	10	36.206	-362.06

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Client Statement
March 1 - March 31, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
03/23/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	10	$ 5.95	$ -59.51
03/28/01	Bought	CORNING INC	55	24.168	-1,329.24
Total securities bought and other subtractions					**$ -3,065.49**
Total securities sold and other additions					**$ 237.99**

Money funds activity

Date	Activity	Description	Amount
	Opening money funds balance		**$ 6,299.47**
03/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	34.12
03/08/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	19.50
03/09/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	8.50
03/12/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	22.24
03/13/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	8.97
03/16/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-152.20

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
03/16/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-471.19
03/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-450.59
03/22/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-367.59
03/23/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-59.51
03/28/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,329.24
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	26.89
		Closing balance	**$ 3,681.29**

Earnings details *The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.*

Dividends

Date	Description	Comment	Taxable	Non-taxable	Amount
03/01/01	AMERICAN HOME PRODUCTS CORP	CASH DIV ON 20.0000 SHS	$ 4.60		$ 4.60
03/01/01	DOW CHEMICAL CO	CASH DIV ON 50.0000 SHS	6.06		6.08
03/01/01	INTEL CORP	CASH DIV ON 45.0000 SHS	.90		.90
03/01/01	LUCENT TECHNOLOGIES INC	CASH DIV ON 100.0000 SHS	2.00		2.00
03/01/01	MURPHY OIL CORP	CASH DIV ON 10.0000 SHS	3.75		3.76
03/01/01	PHILLIPS PETROLEUM CO	CASH DIV ON 10.0000 SHS	3.40		3.40
03/06/01	ARCHER-DANIELS-MIDLAND CO	CASH DIV ON 150.0000 SHS	7.50		7.50
03/06/01	WEYERHAEUSER CO	CASH DIV ON 30.0000 SHS	12.00		12.00
03/08/01	CABLE & WIRELESS PLC SPONSORED ADR	FOREIGN TAX W/HELD $ 0.72 CASH DIV ON 30.0000 SHS TAX HELD BY FGN GOVTS .72	7.22		6.50
03/09/01	EMERSON ELECTRIC CO	CASH DIV ON 16.0000 SHS	5.74		5.74
03/09/01	HONEYWELL INTL INC	CASH DIV ON 40.0000 SHS	7.50		7.50
03/09/01	TEXACO INC	CASH DIV ON 20.0000 SHS	9.00		9.00
03/12/01	USX MARATHON GROUP	CASH DIV ON 39.0000 SHS	8.97		8.97
03/14/01	CARNIVAL CORP	CASH DIV ON 50.0000 SHS TAX HELD BY FGN GOVTS .00	5.25		5.25
03/15/01	CNF INC	CASH DIV ON 47.0000 SHS	4.70		4.70
03/16/01	AMER INTERNATIONAL GROUP INC	CASH DIV ON 16.0000 SHS	.58		.56

SALOMON SMITH BARNEY

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May 1 - May 31, 2001

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LESLIE P GORDON [redacted]

Stocks *continued*

Common stocks	Exchange	No. of shares	Price	Yield	Anticipated Income (annualized)	U.S. Dollar Market value	Comment
WEYERHAEUSER CO	NYSE	30	$ 57.21	2.796%	$ 48.00	$ 1,716.30	Symbol: WY\Rated: B +
WORLDCOM INC GA-NEW	OTC	80	17.84			1,427.20	Symbol: WCOM\Rated: B
Total stocks					$ 1,103.02	$ 80,238.16	

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

U. S. Government and Federal Agency bonds	Amount	Interest rate	Maturity date	Price/ Accrued Interest	Anticipated Income (annualized)	Market value	Comment
U S TREASURY NOTES SER G 2007 DTD 2/16/1997	$ 10,000.00	6.25%	02/15/07	105.438 181.28	$ 625.00	$ 10,543.80	
U S TREASURY NOTES SER C 2008 DTD 5/15/1998	15,000.00	5.625	05/15/08	102.094 36.68	843.75	15,314.10	
Total bonds	$ 25,000.00			$ 217.96	$ 1,468.75	$ 25,857.90	

Anticipated annual income

This value is a grand total of all the anticipated annual income amounts that are shown on the statement.

Total anticipated income (annualized)	$ 2,571.77

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
05/01/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	20	$ 31.812	$ -636.25
05/01/01	Bought	SCHERING PLOUGH CORP	20	39.017	-780.34
05/03/01	Bought	CARNIVAL CORP	10	26.547	-265.47
05/08/01	Bought	MCDONALDS CORP	40	27.044	-1,081.79
05/10/01	Sold	FOX ENTERTAINMENT GROUP INC CLASS A	-74	24.156	1,787.49
05/11/01	Bought	BANK NEW YORK INC	20	50.783	-1,015.66
05/21/01	Bought	AGERE SYSTEMS INC CLASS A	75	6.997	-524.82
Total securities bought and other subtractions					$ -4,304.33
Total securities sold and other additions					$ 1,787.49

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Select Client Statement

June 1 - June 30, 2001

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LESLIE P GORDON [redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
06/12/01	Bought	AMERICAN EXPRESS CO	25	$ 40.60	$ -1,015.00
06/13/01	Cash in lieu	WORLDCOM INC GA NEW MCI GROUP COM CASH IN LIEU OF .20000			3.61
06/13/01	Spinoff	WORLDCOM INC GA NEW MCI GROUP COM SPINOFF ON 80 SHS	3		0.00
06/18/01	Sold	HONEYWELL INTL INC	-40	45.242	1,809.62
06/20/01	Bought	AGERE SYSTEMS INC CLASS A	130	5.805	-754.77
06/20/01	Bought	BANK ONE CORP COM	20	36.20	-724.00
06/20/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	2	27.741	-55.48
06/20/01	Bought	U S TREASURY NOTES SER G 2007 DTD 2/15/1997 DUE 02/15/2007 RATE 6.250 YIELD 4.905MTY 6.2500% FA-15 DUE 02/15/2007 ACCRUED INT PD $ 172.65	8,000	106.562	-8,697.65
06/20/01	Bought	U S TREASURY NOTES SER C 2008 DTD 5/15/1998 DUE 05/15/2008 RATE 5.625 YIELD 5.082MTY 5.6250% MN-15 DUE 05/15/2008 ACCRUED INT PD $ 22.01	4,000	103.125	-4,147.01
06/21/01	Bought	CABLE & WIRELESS PLC SPONSORED ADR	50	18.37	-918.50
06/21/01	Bought	COUNTRYWIDE CREDIT INDS INC DE	10	40.889	-408.89
06/21/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	9	27.643	-248.79
06/22/01	Bought	HEWLETT PACKARD CO	30	25.929	-777.89
06/22/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	20	27.753	-555.06
06/27/01	Bought	CNF INC	6	26.52	-159.12
06/27/01	Bought	DOW CHEMICAL CO	10	33.15	-331.50
06/27/01	Bought	MCDONALDS CORP	20	27.97	-559.40

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SALOMON SMITH BARNEY

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Select Client Statement

June 1 - June 30, 2001

LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
06/28/01	Bought	CNF INC	10	$ 26.097	$ -260.97
06/28/01	Bought	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	10	22.38	-223.80
Total securities bought and other subtractions					$ -19,837.83
Total securities sold and other additions					$ 1,813.23
Total accrued interest paid					194.66

Deposits

Date	Description	Amount	Date	Description	Amount
06/14/01	FROM 579-04311-01 TO 579-04868-01	50,000.00			

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 2,151.78
06/01/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	31.50
06/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	12.86
06/05/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	19.50
06/06/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	3.00
06/11/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	9.00
06/12/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,000.29
06/14/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	3.61
06/15/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	50,006.30

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
06/18/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	5.26
06/19/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1,809.62
06/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-14,378.91
06/21/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,576.18
06/22/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,332.95
06/27/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,050.02
06/28/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-484.77
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	7.00
		Closing balance	$ 34,236.10

Earnings details The tax status of earnings is reliable to the best of our knowledge. Taxable and non-taxable designations refer to the federal income tax status of your securities, not of your account.

Dividends

Date	Description	Comment		Taxable	Non-taxable	Amount
06/01/01	AMERICAN HOME PRODUCTS CORP	CASH DIV ON	20.0000 SHS	$ 4.60		$ 4.60
06/01/01	INTEL CORP	CASH DIV ON	45.0000 SHS	.90		.90
06/01/01	MURPHY OIL CORP	CASH DIV ON	10.0000 SHS	3.75		3.75
06/01/01	PHILLIPS PETROLEUM CO	CASH DIV ON	10.0000 SHS	3.40		3.40
06/04/01	ARCHER-DANIELS-MIDLAND CO	CASH DIV ON	150.0000 SHS	7.50		7.50
06/04/01	WEYERHAEUSER CO	CASH DIV ON	30.0000 SHS	12.00		12.00
06/05/01	PACCAR INC -DEL-	CASH DIV ON	10.0000 SHS	3.00		3.00
06/08/01	TEXACO INC	CASH DIV ON	20.0000 SHS	9.00		9.00
06/11/01	EMERSON ELECTRIC CO	CASH DIV ON	16.0000 SHS	5.74		5.74
06/11/01	USX MARATHON GROUP	CASH DIV ON	39.0000 SHS	8.97		8.97

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July 1 - July 31, 2001

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LESLIE P GORDON [redacted]

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007 DTD 2/15/1997	08/31/00	$ 10,145.31 $ 10,127.90	$ 101.453 $ 101.279	107.858	$ 10,765.60	$ 620.29 $ 637.70	ST ST		$ 0.00 $ 637.70
8,000	INT: 06.250% MATY: 02/15/2007	06/15/01	8,525.00 8,516.16	106.562 106.452	107.858	8,612.48	87.48 96.32	ST ST		0.00 96.32
18,000			18,670.31 18,844.06	103.70 103.60	515.88	19,378.08	707.77 734.02		5.805 1,125.00	0.00 734.02
15,000	U S TREASURY NOTES SER C 2008 DTD 5/15/1998	08/31/00	14,714.06 14,714.06	98.093 98.093	104.531	15,679.65	965.59 965.59	ST ST		0.00 965.59
4,000	INT: 05.625% MATY: 06/15/2008	06/15/01	4,125.00 4,123.18	103.125 103.079	104.531	4,181.24	56.24 58.08	ST ST		0.00 58.08
19,000			18,839.08 18,8[illegible]7.22	99.20 99.10	223.62	19,860.89	1,021.83 1,023.67		5.381 1,068.75	0.00 1,023.67
Total government bonds 37,000			[redacted]		[redacted]	[redacted]	[redacted]	ST LT	[illegible]	$ 0.00 $ 1,757.[illegible]
Total [illegible] value						[redacted]	[redacted]	ST LT	[redacted]	$ 0.00 $ 1,757.[illegible]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
07/02/01	Bought	BURLINGTON RES INC	10	$ 39.555	$ -395.55
07/03/01	Bought	AMERICAN EXPRESS CO	10	39.791	-397.91
07/06/01	Bought	VARCO INTL INC DEL	30	18.591	-557.75
07/09/01	Bought	ICN PHARMACEUTICALS INC-NEW	5	30.00	-150.00
07/10/01	Bought	TEXAS INSTRUMENTS INC	30	32.186	-965.60
07/11/01	Bought	AMERICAN EXPRESS CO	10	38.498	-384.98
07/12/01	Cash in lieu	AT&T WIRELESS SERVICES INC CASH IN LIEU OF .08000			1.47
07/12/01	Spinoff	AT&T WIRELESS SERVICES INC SPINOFF ON 50 SHS	16		0.00
07/13/01	Bought	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	10	18.673	-186.74

SALOMON SMITH BARNEY
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Select Client Statement
July 1 - July 31, 2001

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LESLIE P GORDON

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
07/17/01	Bought	CABLE & WIRELESS PLC SPONSORED ADR	20	$ 16.009	$ -320.19
07/17/01	Bought	CHEVRON CORP	15	88.512	-1,327.68
07/17/01	Bought	USX MARATHON GROUP	20	28.034	-560.69
07/17/01	Bought	VARCO INTL INC DEL	20	15.494	-309.89
07/20/01	Bought	APPLIED MATERIALS INC DELAWARE SALOMON SMITH BARNEY	15	42.963	-644.45
07/23/01	Bought	B J SERVICES CO	35	22.336	-781.77
07/23/01	Bought	SYMANTEC CORP SALOMON SMITH BARNEY	10	37.62	-376.20
07/24/01	Bought	BANK NEW YORK INC	15	43.46	-651.91
07/26/01	Bought	TEXAS INSTRUMENTS INC	10	30.862	-308.63
07/27/01	Bought	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	10	26.062	-260.63
Total securities bought and other subtractions					$ -8,570.78
Total securities sold and other additions					$ 1.47

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
07/27/01	INVESTMENT & ADVISORY SERVICES FROM 07/01/01 TO 09/30/01		869.36				

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 34,236.10
07/02/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-344.27
07/03/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-365.81
07/06/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-567.76
07/09/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-145.36
07/10/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-965.60
07/11/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-390.36
07/13/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-186.27
07/17/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-2,511.66

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
07/19/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.76
07/20/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-644.45
07/23/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,157.97
07/24/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-651.91
07/26/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-306.75
07/27/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,120.19
07/31/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	20.10
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	104.16
		Closing balance	$ 25,004.78

SALOMON SMITH BARNEY

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Select Client Statement

August 1 - August 31, 2001

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LESLIE P GORDON [redacted]

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. Income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007	08/31/00	$ 10,145.31	$ 101.453	108.344	$ 10,834.40	$ 689.09	ST		$ 0.00
	DTD 2/15/1997		$ 10,128.20	$ 101.282			$ 706.20	ST		$ 706.20
8,000	INT: 06.250% MATY: 02/15/2007	06/15/01	8,525.00	106.562	108.344	8,667.52	142.52	ST		0.00
			8,509.28	106.366			158.24	ST		158.24
18,000			18,670.31	103.70		**19,501.92**	831.61		**5.768**	**0.00**
			18,636.48	103.50	**46.91**		**864.44**		**1,125.00**	**864.44**
15,000	U S TREASURY NOTES SER C 2008	08/31/00	14,714.06	98.093	105.25	15,787.50	1,073.44	ST		0.00
	DTD 5/15/1998		14,714.06	98.093			1,073.44	ST		1,073.44
4,000	INT: 05.625% MATY: 05/15/2008	06/15/01	4,125.00	103.125	105.25	4,210.00	85.00	ST		0.00
			4,121.88	103.047			88.12	ST		88.12
19,000			18,839.06	99.20		**19,997.50**	1,158.44		**5.344**	**0.00**
			18,835.94	99.10	**313.65**		**1,161.56**		**1,068.75**	**1,161.56**
Total government bonds			[redacted]		[illegible]	[redacted]	[redacted]	ST	[redacted]	[redacted]
92,000								LT		
Total portfolio value						[redacted]	[redacted]	ST	[redacted]	[redacted]
								LT		

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
08/01/01	Bought	WORLDCOM INC WORLDCOM GROUP COM SALOMON SMITH BARNEY	80	$ 14.661	$ -1,172.94
08/03/01	Bought	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH TRADE AS OF 07/31/01	30	22.065	-661.95
08/03/01	Bought	VODAFONE GROUP PLC SP ADR TRADE AS OF 07/31/01	70	21.653	-1,515.75
08/07/01	Sold	CABLE & WIRELESS PLC SPONSORED ADR	-100	15.812	1,581.21
08/08/01	Bought	ALLSTATE CORP TRADE AS OF 08/03/01	20	33.192	-663.85
08/08/01	Bought	EMERSON ELECTRIC CO	10	57.088	-570.89

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SALOMON SMITH BARNEY

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August 1 - August 31, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
08/09/01	Sold	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	-91	$ 28.528	$ 2,413.88
08/13/01	Bought	PHARMACIA CORP	11	44.577	-490.36
08/13/01	Bought	PHARMACIA CORP TRADE AS OF 08/08/01	14	44.577	-624.09
08/14/01	Bought	HONEYWELL INTL INC TRADE AS OF 08/09/01	10	36.256	-362.57
08/16/01	Bought	B J SERVICES CO	32	22.853	-731.32
08/16/01	Bought	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH	10	18.916	-189.16
08/29/01	Bought	AMER INTERNATIONAL GROUP INC	10	77.195	-771.96
08/30/01	Bought	AOL TIME WARNER INC	25	41.721	-1,043.03
08/30/01	Bought	PIER 1 IMPORTS INC-DEL	20	11.665	-233.32
08/30/01	Bought	WAL-MART STORES INC	10	50.636	-506.36
08/31/01	Bought	ALLTEL CORP DELAWARE	15	57.609	-864.14
08/31/01	Bought	PACCAR INC -DEL- SALOMON SMITH BARNEY	5	54.028	-270.14
Total securities bought and other subtractions					$ -10,570.63
Total securities sold and other additions					$ 3,976.07

Money funds activity

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
		Opening money funds balance	$ 25,004.79
08/01/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,163.36
08/03/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-2,174.10
08/08/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	328.47
08/10/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	2,413.88
08/13/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,111.65
08/14/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-362.57
08/16/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-344.88
08/21/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	4.99
08/23/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	7.50
08/28/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	7.50
08/29/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-766.56
08/30/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,781.71
08/31/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,102.78
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	86.12
		Closing balance	$ 19,024.62

SALOMON SMITH BARNEY

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Select Client Statement

September 1 - September 30, 2001

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LESLIE P GORDON [redacted]

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. Income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007 DTD 2/15/1997 INT: 06.250% MATY: 02/15/2007	08/31/00	$ 10,146.31 $ 10,124.20	$ 101.463 $ 101.242	110.563	$ 11,056.30	$ 910.99 $ 932.10	LT LT		$ 0.00 $ 932.10
8,000		08/15/01	8,528.00 8,502.72	106.662 106.284	110.563	8,848.04	320.04 342.32	ST ST		0.00 342.32
18,000			18,670.31 18,626.92	103.70 103.50	 124.51	**19,901.34**	1,231.03 1,274.42		5.652 1,125.00	0.00 1,274.42
15,000	U S TREASURY NOTES SER C 2008 DTD 5/15/1998 INT: 05.625% MATY: 05/15/2008	08/31/00	14,714.06 14,714.06	98.093 98.093	107.594	16,139.10	1,425.04 1,425.04	LT LT		0.00 1,425.04
4,000		08/15/01	4,125.00 4,120.78	103.125 103.019	107.594	4,303.76	178.76 183.00	ST ST		0.00 183.00
19,000			18,839.06 18,834.82	99.20 99.10	 384.97	**20,442.86**	1,603.80 1,608.04		5.227 1,068.75	0.00 1,608.04
Total government bonds [illegible]			[redacted]		[illegible]	[redacted]	[redacted]	ST LT	[redacted]	[redacted]
Your portfolio value						[redacted]		ST LT		

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
09/05/01	Bought	ADOBE SYSTEMS INC (DE) SALOMON SMITH BARNEY	35	$ 32.615	$ -1,141.56
09/05/01	Bought	ANADARKO PETROLEUM CORP SUNTRUST CAPITAL MARKETS, INC	30	52.114	-1,563.44
09/05/01	Sold	BURLINGTON RES INC	-10	38.582	385.61
09/05/01	Bought	CHUBB CORP	25	67.489	-1,687.23
09/05/01	Bought	CORNING INC	75	12.061	-904.62
09/05/01	Bought	LATTICE SEMICONDUCTOR CORP SALOMON SMITH BARNEY	70	22.881	-1,601.73
09/06/01	Sold	PHILLIPS PETROLEUM CO	-10	68.329	683.29
09/06/01	Bought	SCIENTIFIC ATLANTA INC	75	20.122	-1,509.15
09/06/01	Bought	SANTA FE INTERNATIONAL CORP	60	25.255	-1,515.35

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Select Client Statement
September 1 - September 30, 2001

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LESLIE P GORDON [redacted]

Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
09/06/01	Bought	AMBAC FINL GROUP INC	25	$ 59.285	$ -1,482.13
09/06/01	Bought	CONOCO INC CL B	50	29.766	-1,488.35
09/06/01	Bought	GOLDEN STATE BANCORP INC	25	30.036	-750.90
09/06/01	Bought	MGIC INVT CORP WIS	20	70.251	-1,405.02
09/07/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	55	7.179	-394.87
09/10/01	Bought	AVAYA INC	9	11.433	-102.90
09/10/01	Bought	LSI LOGIC CORP	25	18.008	-450.17
09/10/01	Bought	MICRON TECHNOLOGY INC	15	35.36	-530.41
09/10/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	5	6.586	-32.93
09/10/01	Sold	TOSCO CORPORATION NEW	-40	46.851	1,874.01
09/11/01	Bought	AVAYA INC	5	11.664	-58.32
09/11/01	Bought	MBIA INC	5	53.879	-269.40
09/12/01	Bought	SIMON PPTY GROUP INC NEW	5	29.138	-145.69
09/12/01	Bought	SYMANTEC CORP SALOMON SMITH BARNEY TRADE AS OF 09/07/01	5	41.61	-208.05
09/20/01	Bought	AGILENT TECHNOLOGIES INC	33	21.489	-709.15
09/20/01	Bought	HONEYWELL INTL INC	5	29.20	-146.00
09/21/01	Bought	ALCOA INC	35	30.576	-1,070.17
09/21/01	Bought	CARNIVAL CORP	10	20.149	-201.50
09/21/01	Bought	EMERSON ELECTRIC CO	5	49.602	-248.01
09/21/01	Bought	LSI LOGIC CORP	10	15.355	-153.56
09/24/01	Dividend	ARCHER-DANIELS-MIDLAND CO STK DIV ON 150 SHS	7		0.00
09/24/01	Cash in lieu	ARCHER-DANIELS-MIDLAND CO CASH IN LIEU OF .50000			6.90
09/25/01	Bought	B J SERVICES CO	50	16.768	-838.41
09/27/01	Sold	AVAYA INC	-34	10.875	369.74
09/27/01	Bought	ENGELHARD CORP	5	20.802	-104.01
09/27/01	Sold	ROUSE CO	-8	24.086	192.68
09/27/01	Sold	TEXACO INC	-20	62.254	1,245.06
09/28/01	Bought	B J SERVICES CO	15	15.798	-236.97
09/28/01	Sold	MICRON TECHNOLOGY INC	-45	21.586	971.38
Total securities bought and other subtractions					[redacted]
Total securities sold and other additions					$ 5,628.66

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Select Client Statement

October 1 - October 31, 2001

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LESLIE P GORDON [redacted]

Bonds

Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. Income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007 DTD 2/15/1997 INT: 06.250% MATY: 02/15/2007	08/31/00	$ 10,145.31 $ 10,122.20	$ 101.453 $ 101.222	112.156	$ 11,216.60	$ 1,070.29 $ 1,093.40	LT LT		$ 0.00 $ 1,093.40
8,000		06/15/01	8,525.00 8,495.20	106.562 106.19	112.156	8,972.48	447.48 477.28	ST ST		0.00 477.28
18,000			18,670.31 18,617.40	103.70 103.40	**235.39**	**20,189.08**	1,517.77 1,570.68		**5.572** **1,125.00**	**0.00** **1,570.68**
15,000	U S TREASURY NOTES SER C 2008 DTD 5/15/1998 INT: 05.625% MATY: 05/15/2008	08/31/00	14,714.06 14,714.06	98.093 98.093	109.594	16,439.10	1,725.04 1,725.04	LT LT		0.00 1,725.04
4,000		06/15/01	4,125.00 4,119.56	103.125 102.989	109.594	4,383.76	258.76 264.20	ST ST		0.00 264.20
19,000			18,839.06 18,833.62	99.20 99.10	**490.81**	**20,822.86**	1,983.80 1,989.24		**5.132** **1,068.75**	**0.00** **1,989.24**
Total government bonds **37,000**			[redacted]		[illegible]	[redacted]	[redacted]	ST	[redacted]	$ 0.00 [redacted]
Total bonds value						[redacted]			[redacted]	[redacted]

Investment activity

Transaction details

Date	Activity	Description	Quantity	Price	Amount
10/01/01	Bought	AGERE SYSTEMS INC CLASS A	170	$ 3.934	$ -668.85
10/01/01	Sold	BURLINGTON RES INC	-40	32.138	1,285.49
10/01/01	Sold	ROUSE CO	-18	24.447	440.05
10/01/01	Sold	SIMON PPTY GROUP INC NEW	-65	26.436	1,718.23
10/01/01	Bought	SYMANTEC CORP SALOMON SMITH BARNEY	5	34.595	-172.98
10/02/01	Bought	SANTA FE INTERNATIONAL CORP	10	18.57	-185.70
10/02/01	Sold	ARCHER-DANIELS-MIDLAND CO	-157	12.143	1,906.63
10/02/01	Sold	FLUOR CORP NEW	-4	37.729	150.91
10/02/01	Bought	VARCO INTL INC DEL	20	10.787	-215.76
10/03/01	Bought	AGILENT TECHNOLOGIES INC	40	19.357	-774.30
10/04/01	Bought	AMERICAN EXPRESS CO	20	29.213	-584.26

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October 1 - October 31, 2001

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LESLIE P GORDON

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Investment activity *continued*

Date	Activity	Description	Quantity	Price	Amount
10/04/01	Bought	APPLIED MATERIALS INC DELAWARE SALOMON SMITH BARNEY	15	$ 28.183	$ -422.75
10/04/01	Bought	REALNETWORKS INC SALOMON SMITH BARNEY	40	4.792	-191.71
10/05/01	Bought	SCIENTIFIC ATLANTA INC	10	17.298	-172.98
10/11/01	Bought	CONOCO INC	5	28.20	-131.00
10/12/01	Bought	WALT DISNEY CO	75	18.807	-1,410.64
10/15/01	Bought	BANK NEW YORK INC	5	34.066	-170.33
10/15/01	Bought	HEWLETT PACKARD CO	25	17.112	-427.81
10/15/01	Bought	MGIC INVT CORP WIS	5	57.445	-287.23
10/18/01	Bought	AMBAC FINL GROUP INC	5	52.883	-264.42
10/22/01	Bought	GOLDEN STATE BANCORP INC	3	25.301	-75.90
Total securities bought and other subtractions					$ -6,166.63
Total securities sold and other additions					$ 5,601.21

Other security activity

Date	Activity	Description	Quantity	Value
10/10/01	Name change	CHEVRON CORP	-15	
10/10/01	Name change	CHEVRONTEXACO CORP	15	
Net value of securities deposited/withdrawn				$ 0.00

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
10/19/01	INVESTMENT & ADVISORY SERVICES FROM 10/01/01 TO 12/31/01		802.56				

Money funds activity

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
		Opening money funds balance	$ 3,163.60
10/01/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	768.39
10/02/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	2,838.44
10/03/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	871.68
10/04/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,187.17
10/05/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-172.99
10/10/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	11.74
10/11/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-123.86
10/12/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,410.64
10/15/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-874.07
10/16/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-264.42
10/19/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-802.56
10/22/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-75.90
10/26/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	1.88
10/31/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	20.10
		MONEY FUNDS EARNINGS REINVESTED (SEE DETAILS UNDER EARNINGS DETAILS)	9.23
		Closing balance	$ 2,561.35

SALOMON SMITH BARNEY

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Select Client Statement

November 1 - November 30, 2001

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LESLIE P GORDON [redacted]

Bonds

Unrealized gains & losses have been adjusted to account for the accretion of OID, the amortization of premium, and/or the accretion of market discount. Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued Interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. Income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007 DTD 2/15/1997	08/31/00	$ 10,145.31 $ 10,120.60	$ 101.453 $ 101.208	109.563	$ 10,958.30	$ 810.88 $ 835.70	LT LT		$ 0.00 $ 835.70
8,000	INT: 06.250% MATY: 02/15/2007	08/16/01	8,525.00 8,488.48	106.562 106.106	109.563	8,765.04	240.04 276.56	ST ST		0.00 276.56
18,000			18,670.31 **18,609.08**	103.70 103.40	 327.10	**19,721.34**	1,051.03 **1,112.26**		5.704 1,125.00	0.00 1,112.26
15,000	U S TREASURY NOTES SER C 2008 DTD 5/15/1998	08/31/00	14,714.06 14,714.06	98.093 98.093	106.469	15,970.35	1,256.29 1,256.29	LT LT		0.00 1,256.29
4,000	INT: 05.625% MATY: 05/15/2008	06/15/01	4,125.00 4,118.28	103.125 102.957	106.469	4,258.76	133.76 140.48	ST ST		0.00 140.48
19,000			18,839.06 **18,832.34**	99.20 99.10	 44.28	**20,229.11**	1,390.05 **1,390.77**		5.283 1,068.75	0.00 1,396.77
Total government bonds 37,000			[redacted]		$ 371.38	[redacted]	[redacted]	ST LT	[redacted]	$ 0.00 [redacted]
Total portfolio value			[redacted]			[redacted]	[redacted]	ST LT	[redacted]	[redacted]

Investment activity

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Date	Activity	Description	Quantity	Price	Amount
11/02/01	Bought	ENRON CORP	25	$ 11.705	$ -292.64
11/27/01	Sold	ENRON CORP	-25	5.137	128.44
11/30/01	Sold	AT&T WIRELESS SERVICES INC TRADE AS OF 11/27/01	-16	15.031	240.49
Total securities bought and other subtractions					**$ -292.64**
Total securities sold and other additions					**$ 368.93**

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Bonds

Unrealized gains & losses have been adjusted to account for the accretion of OID, the amortization of premium, and/or the accretion of market discount. Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. Income (annualized)	Ordinary income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007	08/31/00	$ 10,148.31	$ 101.453	108.063	$ 10,806.30	$ 660.99	LT		$ 0.00
	DTD 2/15/1997		$ 10,119.10	$ 101.191			$ 687.20	LT		$ 687.20
8,000	INT: 06.250% MATY: 02/15/2007	08/15/01	8,625.00	108.562	108.063	8,645.04	120.04	ST		0.00
			8,481.68	106.021			163.36	ST		163.36
18,000			18,670.31	103.70		19,451.34	781.03		5.783	0.00
			18,600.78	103.30	421.87		850.56		1,125.00	850.56
15,000	U S TREASURY NOTES SER G 2008	08/31/00	14,714.06	98.093	104.813	15,721.95	1,007.89	LT		0.00
	DTD 5/15/1998		14,714.06	98.093			1,007.89	LT		1,007.89
4,000	INT: 05.625% MATY: 05/15/2008	08/15/01	4,125.00	103.125	104.813	4,192.52	67.52	ST		0.00
			4,116.80	102.82			75.72	ST		75.72
19,000			18,839.06	99.20		19,914.47	1,075.41		5.366	0.00
			18,830.86	99.10	136.80		1,083.61		1,068.75	1,083.61
Total government bonds			[redacted]		[illegible]	[redacted]	[redacted]	ST	[redacted]	[redacted]
$ 37,000								ST		
Total portfolio value								ST		$ 0.00

Transaction details — All dates of transactions appearing on this statement are settlement dates.

Investment activity

Date	Activity	Description	Quantity	Price	Amount
12/05/01	Bought	RAYTHEON COMPANY NEW	45	$ 31.52	$ -1,418.40
12/11/01	Bought	COUNTRYWIDE CREDIT INDS INC DE	5	39.172	-195.86
Total securities bought and other subtractions					$ -1,614.26
Total securities sold and other additions					$ 0.00

Money funds activity

Date	Activity	Description	Amount
		Opening money funds balance	$ 3,007.21
12/03/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	240.49
12/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	39.18
12/06/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,411.20

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount
12/13/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	4.50
12/17/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	14.50
12/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	15.80

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December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Cash, Money funds and Bank deposits	This period	This year
Opening balance	[redacted]	
Securities bought and other subtractions	[redacted]	
Securities sold and other additions	0.00	[redacted]
Deposits	0.00	[redacted]
Withdrawals	0.00	[redacted]
Dividends credited	141.29	
Money funds earnings reinvested	5.50	
Closing balance	[redacted]	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

Portfolio summary	This period	Year-to-date as of 08/01
Opening value of securities	[redacted]	[redacted]
+ Opening cash balance	[redacted]	[redacted]
= Opening portfolio balance	[redacted]	[redacted]
Securities deposited/withdrawn net	0.00	[redacted]
Capital deposited/withdrawn net	0.00	[redacted]
Adjusted opening value	[redacted]	[redacted]
Closing value of securities	[redacted]	[redacted]
+ Closing cash balance	[redacted]	[redacted]
= Closing portfolio value	[redacted]	[redacted]

Note: Securities deposited/withdrawn net = The value of securities on the day they were debited from or credited to the account as reflected in the "Other security activity" section.

Capital deposited/withdrawn net = Cash withdrawals and deposits, credit card payments, FMA Card activity, checks written, and Money funds/Insured Deposit Account℠ transfers.

Portfolio details *The values of your holdings are as of 12/31/01*

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.
Please note, unrealized gain/(loss) is being prepared for informational purposes only and should not be used for tax preparation without the assistance of your tax advisor.

Money funds

Number of shares	Description	Current value	Accrued dividends	Annualized % dividend Yield/Anticipated Income (annualized)
1,771.41	SB MONEY FUNDS CASH PORT CL A	$ 1,771.41		1.56 % $ 27.45
Total money funds		$ 1,771.41	$ 0.00	1.56 % $ 27.45

Common stocks & options

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
60	GLOBALSANTEFE CORP	08/31/01	$ 1,515.35	$ 25.255	$ 28.52	$ 1,711.20	$ 195.85	ST	
10	SYMBOL: GSF	09/27/01	195.70	19.57	28.52	285.20	89.50	ST	
70			1,711.05	24.444		1,996.40	285.35		.455 9.10

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December 1 - December 31, 2001

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· *LESLIE P GORDON* [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
15	AOL TIME WARNER INC	01/03/01	$ 556.58	$ 37.105	$ 32.10	$ 481.50	($ 75.08) ST	
25	SYMBOL: AOL/RATING: B	08/27/01	1,043.03	41.721	32.10	802.50	(240.53) ST	
40			**1,599.61**	**39.99**		1,284.00	(315.61)	
20	AT&T CORP	09/13/00	471.02	23.551	18.14	362.80	(108.22) LT	
10	SYMBOL: T/RATING: B	10/13/00	190.27	19.027	18.14	181.40	(8.87) LT	
20		01/23/01	360.40	18.02	18.14	362.80	2.40 ST	
50			**1,021.69**	**20.434**		907.00	(114.69)	.828 7.50
30	ABBOTT LABORATORIES SYMBOL: ABT/RATING: A +	08/16/00	1,307.02	43.567	55.75	1,672.50	365.48 LT	1.506 25.20
35	ADOBE SYSTEMS INC (DE) SYMBOL: ADBE/RATING: B +	08/30/01	1,141.56	32.616	31.05	1,086.75	(54.81) ST	.161 1.75
75	AGERE SYSTEMS INC CLASS A	06/18/01	524.82	6.997	5.69	426.75	(98.07) ST	
130	SYMBOL: AGRA	06/15/01	754.77	5.806	5.69	739.70	(15.07) ST	
170		09/26/01	668.85	3.934	5.69	967.30	298.45 ST	
375			**1,948.44**	**5.196**		2,133.75	185.31	
33	AGILENT TECHNOLOGIES INC	08/17/01	709.15	21.489	28.51	940.83	231.68 ST	
40	SYMBOL: A	09/28/01	774.30	19.357	28.51	1,140.40	366.10 ST	
73			**1,483.45**	**20.321**		2,081.23	597.78	
40	ALCOA INC	09/13/00	1,202.70	30.067	35.55	1,422.00	219.30 LT	
10	SYMBOL: AA/RATING: B +	09/20/00	250.16	25.016	35.55	355.50	105.35 LT	
35		09/18/01	1,070.17	30.576	35.55	1,244.25	174.08 ST	
85			**2,523.02**	**29.683**		3,021.75	498.73	1.687 51.00
40	ALLSTATE CORP	10/04/00	1,383.36	34.583	33.70	1,348.00	(35.36) LT	
20	SYMBOL: ALL	08/03/01	663.85	33.192	33.70	674.00	10.15 ST	
60			**2,047.21**	**34.12**		2,022.00	(25.21)	2.255 45.60
20	ALLTEL CORP DELAWARE	08/11/00	1,065.98	53.299	61.73	1,234.60	168.62 LT	
15	SYMBOL: AT/RATING: A	08/28/01	864.14	57.609	61.73	925.95	61.81 ST	
35			**1,930.12**	**55.146**		2,160.55	230.43	2.203 47.60
25	AMBAC FINL GROUP INC	08/31/01	1,482.13	59.285	57.86	1,446.50	(35.63) ST	
5	SYMBOL: ABK/RATING: A-	10/11/01	264.42	52.883	57.86	289.30	24.88 ST	
30			**1,746.55**	**58.218**		1,735.80	(10.75)	.622 10.80

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December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
25	AMERICAN EXPRESS CO	06/07/01	$ 1,015.00	$ 40.60	$ 35.69	$ 892.25	($ 122.75)	ST	
10	SYMBOL: AXP/RATING: A-	06/28/01	397.91	39.791	35.69	356.90	(41.01)	ST	
10		07/06/01	384.99	38.498	35.69	356.90	(28.09)	ST	
20		10/01/01	584.26	29.213	35.69	713.80	129.54	ST	
65			**2,382.16**	**36.649**		**2,319.85**	**(62.31)**		**.896** **20.80**
20	AMERICAN HOME PRODUCTS CORP SYMBOL: AHP/RATING: B	08/31/00	**1,105.40**	55.27	61.36	**1,227.20**	121.80	LT	**1.499** **16.40**
15	AMER INTERNATIONAL GROUP INC	08/29/00	1,286.94	85.796	79.40	1,191.00	(95.94)	LT	
10	SYMBOL: AIG/RATING: A +	08/24/01	771.96	77.196	79.40	794.00	22.04	ST	
25			**2,058.90**	**82.356**		**1,985.00**	**(73.90)**		**.211** **4.20**
30	ANADARKO PETROLEUM CORP SYMBOL: APC/RATING: B +	08/30/01	**1,563.44**	52.114	56.85	**1,705.50**	**142.06**	ST	**.527** **9.00**
20	APPLIED MATERIALS INC DELAWARE	11/14/00	848.74	42.437	40.10	802.00	(46.74)	LT	
15	SYMBOL: AMAT/RATING: B	07/17/01	644.45	42.963	40.10	601.50	(42.95)	ST	
15		10/01/01	422.75	28.183	40.10	601.50	178.75	ST	
50			**1,915.94**	**38.319**		**2,005.00**	**89.06**		
35	B J SERVICES CO	07/18/01	781.77	22.336	32.45	1,135.75	353.98	ST	
32	SYMBOL: BJS/RATING: B	08/10/01	731.32	22.853	32.45	1,038.40	307.08	ST	
50		09/20/01	838.41	16.768	32.45	1,622.50	784.09	ST	
15		09/26/01	236.97	15.798	32.45	486.75	249.78	ST	
132			**2,588.47**	**19.61**		**4,283.40**	**1,694.93**		
20	BANK NEW YORK INC	05/08/01	1,015.66	50.783	40.80	816.00	(199.66)	ST	
15	SYMBOL: BK/RATING: A	07/18/01	651.91	43.46	40.80	612.00	(39.91)	ST	
5		10/10/01	170.33	34.066	40.80	204.00	33.67	ST	
40			**1,837.90**	**45.948**		**1,632.00**	**(205.90)**		**1.764** **28.80**
30	BANK ONE CORP COM	12/07/00	1,032.16	34.405	39.05	1,171.50	139.34	LT	
10	SYMBOL: ONE/RATING: A-	12/14/00	331.85	33.184	39.05	390.50	58.65	LT	
20		06/15/01	724.00	36.20	39.05	781.00	57.00	ST	
60			**2,088.01**	**34.80**		**2,343.00**	**254.99**		**2.151** **50.40**
17	CNF INC	08/30/00	420.41	24.729	33.55	570.35	149.94	LT	
20	SYMBOL: CNF/RATING: B	08/31/00	498.97	24.948	33.55	671.00	172.03	LT	
10		09/28/00	222.42	22.241	33.55	335.50	113.08	LT	

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December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
6	CNF INC	06/22/01	$ 159.12	$ 26.52	$ 33.55	$ 201.30	$ 42.18	ST	
10	SYMBOL: CNF/RATING: B	06/25/01	260.97	26.097	33.55	335.50	74.53	ST	
63			1,561.89	24.792		2,113.65	551.76		1.192 25.20
50	CARNIVAL CORP	08/31/00	1,001.68	20.033	28.08	1,404.00	402.32	LT	
10	SYMBOL: CCL/RATING: A+	04/30/01	265.47	26.547	28.08	280.80	15.33	ST	
10		09/18/01	201.50	20.149	28.08	280.80	79.30	ST	
70			1,468.65	20.981		1,965.60	496.95		1.495 29.40
10	CATERPILLAR INC SYMBOL: CAT/RATING: B+	02/15/01	446.68	44.667	52.25	522.50	75.82	ST	2.679 14.00
40	CENTEX CORP SYMBOL: CTX/RATING: A	09/18/00	1,189.22	29.73	57.09	2,283.60	1,094.38	LT	.28 6.40
15	CHEVRONTEXACO CORP SYMBOL: CVX/RATING: B+	07/12/01	1,327.68	88.512	89.61	1,344.15	16.47	ST	3.124 42.00
25	CHUBB CORP SYMBOL: CB/RATING: B+	08/30/01	1,687.23	67.489	69.00	1,725.00	37.77	ST	1.971 34.00
110	CLAYTON HOMES INC SYMBOL: CMH/RATING: A-	08/29/00	1,064.67	9.678	17.10	1,881.00	816.33	LT	.374 7.04
50	CONOCO INC	08/31/01	1,488.36	29.766	28.30	1,415.00	(73.36)	ST	
5	SYMBOL: COC	10/06/01	131.00	26.20	28.30	141.50	10.50	ST	
55			1,619.36	29.443		1,556.50	(62.86)		2.685 41.80
55	CORNING INC	03/21/01	1,329.24	24.168	8.92	490.60	(838.64)	ST	
75	SYMBOL: GLW/RATING: B	08/30/01	904.62	12.061	8.92	669.00	(235.62)	ST	
130			2,233.86	17.184		1,159.60	(1,074.26)		
30	COUNTRYWIDE CREDIT INDS INC DE	08/29/00	1,124.16	37.472	40.97	1,229.10	104.94	LT	
10	SYMBOL: CCR/RATING: A	11/01/00	374.05	37.404	40.97	409.70	35.65	LT	
10		08/18/01	408.89	40.889	40.97	409.70	.81	ST	
5		12/06/01	195.86	39.172	40.97	204.85	8.99	ST	
55			2,102.96	38.236		2,253.35	150.39		.976 22.00
75	WALT DISNEY CO SYMBOL: DIS/RATING: B	10/09/01	1,410.54	18.807	20.72	1,554.00	143.46	ST	1.013 15.75

LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)	Average % Yield/Anticipated Income (annualized)
50	DOW CHEMICAL CO	09/12/00	$ 1,271.48	$ 25.429	$ 33.78	$ 1,689.00	$ 417.54 LT	
10	SYMBOL: DOW/RATING: A-	06/22/01	331.50	33.15	33.78	337.80	6.30 ST	
60			**1,603.08**	**26.718**		**2,026.80**	**423.84**	**3.966** **80.40**
10	EMERSON ELECTRIC CO	09/06/00	692.98	69.298	57.10	571.00	(121.98) LT	
5	SYMBOL: EMR/RATING: A+	09/18/00	312.68	62.536	57.10	285.50	(27.18) LT	
10		06/03/01	570.89	57.089	57.10	571.00	11 ST	
5		09/18/01	248.01	49.602	57.10	285.50	37.49 ST	
30			**1,824.56**	**60.819**		**1,713.00**	**(111.56)**	**2.714** **46.50**
70	ENGELHARD CORP	09/12/00	1,277.50	18.25	27.68	1,937.60	660.10 LT	
4	SYMBOL: EC/RATING: B+	09/21/00	63.52	15.88	27.68	110.72	47.20 LT	
10		09/22/00	163.56	16.356	27.68	276.80	113.24 LT	
5		09/24/01	104.01	20.802	27.68	138.40	34.39 ST	
89			**1,608.59**	**18.074**		**2,463.52**	**854.93**	**1.445** **35.60**
50	GEORGIA PACIFIC CORP	09/12/00	1,360.71	27.214	27.61	1,380.50	19.79 LT	
10	SYMBOL: GP/RATING: B	09/25/00	227.94	22.794	27.61	276.10	48.16 LT	
60			**1,588.65**	**26.478**		**1,656.60**	**67.95**	**1.81** **30.00**
25	GOLDEN STATE BANCORP INC	08/31/01	750.90	30.036	26.15	653.75	(97.15) ST	
3	SYMBOL: GSB	10/17/01	75.90	25.301	26.15	78.45	2.55 ST	
28			**826.80**	**29.529**		**732.20**	**(94.60)**	**1.529** **11.20**
40	HASBRO INC	09/15/00	449.90	11.247	16.23	649.20	199.30 LT	
10	SYMBOL: HAS/RATING: B	10/31/00	107.50	10.75	16.23	162.30	54.80 LT	
30		02/23/01	376.70	12.556	16.23	486.90	110.20 ST	
80			**934.10**	**11.676**		**1,298.40**	**364.30**	**.739** **9.60**
64	HEALTH MGMT ASSOC INC CL A SYMBOL: HMA/RATING: B+	01/26/01	**1,069.59**	**16.712**	**18.40**	**1,177.60**	**108.01** ST	
20	HEWLETT PACKARD CO	01/16/01	603.62	30.181	20.54	410.80	(192.82) ST	
10	SYMBOL: HWP/RATING: A	01/16/01	336.75	33.676	20.54	205.40	(130.35) ST	
30		06/19/01	777.89	25.929	20.54	616.20	(161.69) ST	
25		10/10/01	427.81	17.112	20.54	513.50	85.69 ST	
85			**2,146.07**	**25.236**		**1,746.90**	**(399.17)**	**1.557** 27.20

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Forms 1099 and 2001 Year End Summary

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Important income tax return document enclosed. For tax advice, please consult your tax advisor.

If you have questions about your Forms 1099 or Year End Summary, call our toll-free number, Monday through Friday, 9:00 a.m. to 5:00 p.m. EST., 1(888)SEL-1099

Please review the enclosed brochure for information you may need to prepare your state and local tax returns on your Smith Barney and Consulting Group Capital Markets funds.

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Select Client Statement
Forms 1099 for 2001

[redacted]

Account Number [redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant

[redacted]
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3789
[redacted]

[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-INT Interest Income 2001 (OMB No.1545-0112)

Interest income not included in box 3	Early withdrawal penalty	US Savings Bonds and other US Treasury interest	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession
		$ 1,831.26				
Box 1	Box 2	Box 3	Box 4	Box 5	Box 6	Box 7

1099-DIV Dividends and Distributions 2001 (OMB No.1545-0110)

Ordinary dividends	Total capital gain distributions	20% rate gain	Qualified 5-year gain	Unrecaptured sec. 1250 gain	Section 1202 gain
$ 1,621.74	$ 3.87		$ 2.93	$ .82	
Box 1	Box 2a	Box 2b	Box 2c	Box 2d	Box 2e

Nontaxable distributions	Federal income tax withheld	Investment expenses	Foreign tax paid	Foreign country or US possession	Liquidation distributions - cash	Liquidation distributions - non cash
$ 37.05	[redacted]		$ 7.46	Various		
Box 3	Box 4	Box 5	Box 6	Box 7 [redacted]	[redacted]	[redacted]

[redacted]

SALOMON SMITH BARNEY
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Select Client Statement
Forms 1099 for 2001

LESLIE P GORDON
Account Numb[redacted]

[redacted]

Payer

SALOMON SMITH BARNEY INC.
388 GREENWICH STREET
NEW YORK, NEW YORK 10013
Attn: Tax Reporting Service Center
[redacted]

Your Financial Consultant
[redacted]
SALOMON SMITH BARNEY INC.
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
Branch Office : 732-224-3789
[redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001

(OMB#1545-0715)

Gross proceeds from each transaction are individually reported to the IRS after deducting commissions. For bond transactions, accrued income is also deducted. Taxable accrued interest is reported on Form 1099-INT and included in your "Details of 1099 Reported Interest Income".

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120000800	11/27/01	00209A106000	16	AT&T WIRELESS SERVICES INC	$ 15.031	$ 240.49	
120001500	02/15/01	013817101000	10	ALCOA INC	36.311	363.11	
120003100	09/27/01	039483102000	157	ARCHER-DANIELS-MIDLAND CO	12.143	1,906.53	
120003400	09/24/01	053499109000	34	AVAYA INC	10.875	369.74	[redacted]
120004400	08/30/01	122014103000	10	BURLINGTON RES INC	38.562	385.61	
120004500	09/26/01	122014103000	40	BURLINGTON RES INC	32.138	1,285.49	
120005000	08/02/01	126830207001	100	CABLE & WIRELESS PLC SPONSORED ADR	15.612	1,561.21	
120006800	11/21/01	293561106000	[redacted]	ENRON CORP	5.137	128.44	
120007000	09/27/01	343412102000	4	FLUOR CORP NEW	37.729	150.91	
120007200	05/07/01	35138T107000	74	FOX ENTERTAINMENT GROUP INC CLASS A	24.156	1,787.49	
120008100	08/13/01	438516106000	40	HONEYWELL INTL INC	45.242	1,809.62	
120009200	02/14/01	549463107000	100	LUCENT TECHNOLOGIES INC	12.717	1,271.72	
120010200	09/25/01	595112103000	45	MICRON TECHNOLOGY INC	[redacted]	[redacted]	[redacted]
120010600	02/26/01	65332V103000	10	NEXTEL COMMUNICATIONS INC CL A	23.799	237.99	

[redacted]

[redacted]

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Select Client Statement
Forms 1099 for 2001

LESLIE P GORDON
Account Number [redacted]

This is important tax information and is being furnished to the Internal Revenue Service. If you are required to file a return, a negligence penalty or other sanction may be imposed on you if this income is taxable and the IRS determines that it has not been reported.

1099-B Proceeds from Broker and Barter Exchange Transactions 2001 - *continued* [redacted]

Reference number	Date of sale (Box 1a)	CUSIP number (Box 1b)	Quantity	Description (Box 5)	Price	Gross proceeds less commissions (Box 2)	Federal income tax withheld (Box 4)
120011500	08/06/01	654624105001	91	NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD-	$ 26.526	$ 2,413.66	
120012700	08/30/01	718507106000	10	PHILLIPS PETROLEUM CO	58.328	583.28	
120013800	01/26/01	779273101000	24	ROUSE CO	26.75	641.98	
120013900	09/24/01	779273101000	8	ROUSE CO	24.086	192.68	
120014000	09/26/01	779273101000	18	ROUSE CO	24.447	440.05	
120014700	09/26/01	828806109000	65	SIMON PPTY GROUP INC NEW	26.435	1,718.23	
120014800	04/11/01	848497103000	20	SPIEKER PPTYS INC	52.162	1,043.23	
120015300	09/24/01	881694103000	20	TEXACO INC	62.254	1,245.05	
120015800	09/05/01	891490302000	40	TOSCO CORPORATION NEW	46.851	1,874.01	
Totals						$ 22,822.10	

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

[redacted]

SALOMON SMITH BARNEY
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Page 6 of 14

Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Number [redacted]

Salomon Smith Barney is pleased to provide you with this overview of activity in your account this year. This information will help you understand the performance of your investments and manage your account with the assistance of your Salomon Smith Barney Financial Consultant. This information is not provided to the IRS.

Value of your portfolio

Description	Amount
Combined account balance	[redacted]
Money funds	[redacted]
Accrued bond / CD interest	[redacted]
Common stocks & options	[redacted]
Government bonds	[redacted]
Value of your account on 12/31/01	[redacted]
Value of your account on 12/31/00	[redacted]

Interest you paid 2001

Description	Amount
Taxable Accrued Interest	$ 184.66

Earnings summary 2001

Due to IRS reporting requirements, these figures may not be the same as totals reported on your monthly statement.

Description	1099 Reported	1099 Exempt	Total
Interest *	$ 1,831.26		$ 1,831.26
Dividends **	1,562.66		1,562.66
Totals	[redacted]		[redacted]

*If you received accrued interest, it is included in this amount.
**Includes money funds earnings and capital gain distributions.

Summary of miscellaneous tax withheld 2001

The following taxes have been withheld in compliance with U.S. federal or foreign regulations.

Description	Amount
Foreign tax paid	$ 7.46
Total	$ 7.46

2001 YEAR END SUMMARY

[redacted]

[redacted]

SALOMON SMITH BARNEY
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Select Client Statement
2001 Year End Summary

LESLIE P GORDON
[redacted]

2001 YEAR END SUMMARY

Details of 1099 Reported Interest Income 2001

The following details show how we derived your total interest reported on Form 1099-INT. Amounts in Box 1 and Box 3 include any taxable accrued interest received

Reference number	Description	Interest income not included in box 3 (Box 1)	Early withdrawal penalty (Box 2)	US Savings Bonds and other US Treasury interest (Box 3)	Federal income tax withheld (Box 4)	Investment expenses (Box 5)	Foreign tax paid (Box 6)
130000100	U S TREASURY NOTES SER G 2007 DTD 2/15/1997 DUE 02/15/2007 RATE 6.250			$ 875.00			
130000200	U S TREASURY NOTES SER C 2008 DTD 5/15/1998 DUE 05/15/2008 RATE 5.625			956.26			
Totals in Boxes 1-6				$ 1,831.26			

	Amount
Total reported interest from all products (Box 1 and Box 3)	$ 1,831.26

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e [redacted]

The following details show how we derived your total dividends reported on Form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings and accrued dividends received.

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150000100	*** SANTA FE INTERNATIONAL CORP	$ 1.95						
150000200	AT&T CORP	6.77						
150000300	ABBOTT LABORATORIES	24.60						
150000400	ADOBE SYSTEMS INC (DE)	.44						
150000500	ALCOA INC	36.75						
150000600	ALLSTATE CORP	33.40						
150000700	ALLTEL CORP DELAWARE	31.35				[redacted]		
150000800	AMBAC FINL GROUP INC	2.70						
150000900	AMERICAN EXPRESS CO	8.00						

[redacted]

LESLIE P GORDON
Account Number [redacted] [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e - *continued*

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150001000	AMERICAN HOME PRODUCTS CORP	$ 18.40						
150001100	AMER INTERNATIONAL GROUP INC	2.80						
150001200	ANADARKO PETROLEUM CORP	3.75						
150001300	ARCHER-DANIELS-MIDLAND CO	22.50						
150001400	BANK NEW YORK INC	10.80						
150001500	BANK ONE CORP COM	35.70						
150001600	BURLINGTON RES INC	22.00						
150001700	CNF INC	22.00						
150001800	*** CABLE & WIRELESS PLC SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	62.76						
150001900	*** CARNIVAL CORP	25.20						
150002000	CATERPILLAR INC	10.40						
150002100	CENTEX CORP	6.40						
150002200	CHEVRON CORP	9.75						
150002300	CHEVRONTEXACO CORP	10.50						
150002400	CHUBB CORP	6.50						
150002500	CLAYTON HOMES INC	5.28						
150002600	CONOCO INC	10.45						
150002700	CORNING INC	3.30						
150002800	COUNTRYWIDE CREDIT INDS INC DE	18.00						
150002900	WALT DISNEY CO	15.75						
150003000	DOW CHEMICAL CO	69.21						
150003100	EASTMAN KODAK CO	8.80						
150003200	EMERSON ELECTRIC CO	32.67						
150003300	ENGELHARD CORP	34.10						
150003400	FLUOR CORP NEW	1.92						
150003500	GEORGIA PACIFIC CORP	30.00						
150003600	GOLDEN STATE BANCORP INC	2.80						
150003700	HASBRO INC	8.70			[redacted]			
150003800	HEWLETT PACKARD CO	9.60						
150003900	HONEYWELL INTL INC	12.19						

2001 YEAR END SUMMARY

SALOMONSMITHBARNEY
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Select Client Statement
2001 Year End Summary

LESLIE P GO
Account Nu[redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e - *continued*

Reference number	Description	Ordinary dividends*	Short term capital gain* (Box 1)	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec. 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150004000	ICN PHARMACEUTICALS INC-NEW	$ 5.26						
150004100	INTEL CORP	3.60						
150004200	LUCENT TECHNOLOGIES INC	2.00						
150004300	MBIA INC	11.55						
150004400	MGIC INVT CORP WIS	.63						
150004500	MATTEL INC DE	4.50						
150004600	MCDONALDS CORP	13.50						
150004700	MERCK & CO INC	27.40						
150004800	MOTOROLA INC DE	12.80						
150004900	MURPHY OIL CORP	15.00						
150005000	*** NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	3.00						
150005100	*** NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT	4.96						
150005200	PACCAR INC -DEL-	10.50						
150005300	PEPSICO INC	17.10						
150005400	PHARMACIA CORP	13.58						
150005500	PHILLIPS PETROLEUM CO	10.40						
150005600	PIER 1 IMPORTS INC-DEL	18.40						
150005700	ROUSE CO A PORTION OF THIS INCOME HAS BEEN RECLASSIFIED	24.84						
150005800	SCHERING PLOUGH CORP	19.20						
150005900	SCIENTIFIC ATLANTA INC	.85						
150006000	SIMON PPTY GROUP INC NEW	68.23		3.73		2.93	.80	
						[redacted]	[redacted]	
	A PORTION OF THIS INCOME HAS BEEN RECLASSIFIED							
150006100	SB MONEY FUNDS CASH PORT CL A	384.71						

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
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[redacted]

Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account Numbe [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 1 - 2e *- continued*

Reference number	Description	Ordinary dividends* (Box 1)	Short term capital gain*	Total capital gains distributions (Box 2a)	28% rate gain (Box 2b)	Qualified 5-year gain (Box 2c)	Unrecaptured Sec 1250 gain (Box 2d)	Section 1202 gain (Box 2e)
150006200	SPIEKER PPTYS INC	$ 17.00		$ .14			$ .02	
	A PORTION OF THIS INCOME HAS BEEN RECLASSIFIED							
150006300	TEXACO INC	27.00						
150006400	TEXAS INSTRUMENTS INC	4.26						
150006500	TOSCO CORPORATION NEW	9.60						
150006600	USX MARATHON GROUP	45.08						
150006700	WAL-MART STORES INC	8.60						
150006800	WEYERHAEUSER CO	48.00						
150006900	WORLDCOM INC GA NEW MCI GROUP COM	1.80						
Totals		$ 1,521.74		$ 3.87		$ 2.93	$ .82	

The total of these two categories equals the amount reported in Form 1099-DIV, Box 1.

[redacted]

[redacted]

2001 YEAR END SUMMARY

SALOMON SMITH BARNEY
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Ref [redacted]

Select Client Statement
2001 Year End Summary

LESLIE P GORDON
Account [redacted]

Details of 1099 Reported Dividends and Distributions 2001, Boxes 3 - 9

The following details show how we derived your total dividends reported on form 1099-DIV. Amount displayed for ordinary dividends include dividend reinvestments, money fund earnings, and accrued dividends received.

Reference number	Description	Nontaxable distributions (Box 3)	Federal income tax withheld (Box 4)	Investment expense (Box 5)	Foreign tax paid (Box 6)	Foreign country or US possession (Box 7)	Liquidation distributions - cash (Box 8)	Liquidation distributions - non cash (Box 9)
150001800	*** CABLE & WIRELESS PLC SPONSORED ADR THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				$ 6.27			
150005000	*** NIPPON TELEPHONE & TELEGRAPH CORP ADR RPSTG 1/200 OF ORD SH -USD- THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.45			
150005100	*** NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH THIS AMOUNT INCLUDES TAXES PAID TO A FOREIGN GOVERNMENT				.74			
150005700	ROUSE CO A PORTION OF THIS INCOME HAS BEEN RECLASSIFIED	2.85						
150006000	SIMON PPTY GROUP INC NEW A PORTION OF THIS INCOME HAS BEEN RECLASSIFIED	23.34						
150006200	SPIEKER PPTYS INC A PORTION OF THIS INCOME HAS BEEN RECLASSIFIED	10.86						
Totals		$ 37.05			$ 7.46			

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2001 YEAR END SUMMARY

SALOMON SMITH BARNEY

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Ref: 000[redacted]

Select Client Statement

December 1 - December 31, 2001

LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
10	HONEYWELL INTL INC	08/08/01	$ 362.57	$ 36.256	$ 33.82	$ 338.20	($ 24.37)	ST	
5	SYMBOL: HON/RATING: B +	09/17/01	146.00	29.20	33.82	169.10	23.10	ST	
15			**508.57**	**33.905**		**507.30**	(1.27)		2.217 11.25
20	ICN PHARMACEUTICALS INC-NEW	02/21/01	514.07	25.703	33.50	670.00	155.93	ST	
5	SYMBOL: ICN	07/03/01	150.00	30.00	33.50	167.50	17.50	ST	
25			**664.07**	**26.563**		**837.50**	173.43		.895 7.50
15	INTEL CORP	09/07/00	1,001.05	66.736	31.45	471.75	(529.30)	LT	
20	SYMBOL: INTC/RATING: A	10/10/00	768.44	38.422	31.45	629.00	(139.44)	LT	
10		01/09/01	325.18	32.518	31.45	314.50	(10.68)	ST	
45			**2,084.65**	**46.326**		**1,415.25**	**(669.40)**		.254 3.60
40	LSI LOGIC CORP	10/10/00	1,040.96	26.023	15.78	631.20	(409.76)	LT	
10	SYMBOL: LSI/RATING: B-	01/09/01	202.25	20.225	15.78	157.80	(44.45)	ST	
10		03/12/01	162.23	16.223	15.78	157.80	(4.43)	ST	
25		09/05/01	450.17	18.006	15.78	394.50	(55.67)	ST	
10		09/18/01	153.56	15.356	15.78	157.80	4.24	ST	
95			**2,009.17**	**21.149**		**1,499.10**	**(510.07)**		
70	LATTICE SEMICONDUCTOR CORP SYMBOL: LSCC/RATING: B	08/30/01	**1,601.73**	22.881	20.57	**1,439.90**	**(161.83)**	ST	
9	MBIA INC	01/26/01	413.54	45.949	53.63	482.67	69.13	ST	
15	SYMBOL: MBI/RATING: A	01/26/01	689.42	45.961	53.63	804.45	115.03	ST	
5		09/06/01	269.40	53.879	53.63	268.15	(1.25)	ST	
29			**1,372.36**	**47.323**		**1,555.27**	**182.91**		1.118 17.40
20	MGIC INVT CORP WIS	08/31/01	1,405.02	70.251	61.72	1,234.40	(170.62)	ST	
5	SYMBOL: MTG/RATING: A	10/10/01	287.23	57.445	61.72	308.60	21.37	ST	
25			1,692.25	**67.69**		**1,543.00**	(149.25)		.162 2.50
90	MATTEL INC DE SYMBOL: MAT/RATING: B +	08/29/00	**950.63**	10.562	17.20	**1,548.00**	**597.37**	LT	.29 4.50
40	MCDONALDS CORP	05/03/01	1,081.79	27.044	26.47	1,058.80	(22.99)	ST	
20	SYMBOL: MCD/RATING: A +	06/22/01	559.40	27.97	26.47	529.40	(30.00)	ST	
60			**1,641.19**	**27.353**		1,588.20	(52.99)		.85 13.50

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December 1 - December 31, 2001

Ref: 00003[redacted]

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
20	MERCK & CO INC SYMBOL: MRK/RATING: A +	08/30/00	$ 1,423.66	$ 71.183	$ 58.80	$ 1,176.00	($ 247.66)	LT	2.38 % $ 28.00
20	MOBILE TELESYSTEMS OJSC-RU ADR SYMBOL: MBT	01/30/01	580.33	29.016	35.66	713.20	132.87	ST	.378 2.70
40	MOTOROLA INC DE SYMBOL: MOT/RATING: A	09/11/00	1,340.00	33.50	15.02	600.80	(739.20)	LT	
10		10/10/00	265.74	26.573	15.02	150.20	(115.54)	LT	
20		10/11/00	452.26	22.612	15.02	300.40	(151.86)	LT	
10		12/06/00	195.48	19.548	15.02	150.20	(45.28)	LT	
80			2,253.48	28.169		1,201.60	(1,051.88)		1.065 12.80
10	MURPHY OIL CORP SYMBOL: MUR/RATING: B +	02/01/01	579.38	57.937	84.04	840.40	261.02	ST	1.784 15.00
10	NOKIA CORP SPONSORED ADR EACH REPSTG "A" SH SYMBOL: NOK	02/22/01	229.36	22.936	24.53	245.30	15.94	ST	
10		02/26/01	224.58	22.457	24.53	245.30	20.72	ST	
10		06/25/01	223.80	22.38	24.53	245.30	21.50	ST	
10		07/10/01	186.74	18.673	24.53	245.30	58.56	ST	
30		07/31/01	661.95	22.065	24.53	735.90	73.95	ST	
10		08/10/01	189.16	18.915	24.53	245.30	56.14	ST	
80			1,715.59	21.445		1,962.40	246.81		.55 10.80
10	PACCAR INC -DEL- SYMBOL: PCAR/RATING: A-	03/13/01	471.75	47.175	65.62	656.20	184.45	ST	
5		06/28/01	270.14	54.028	65.62	328.10	57.96	ST	
15			741.89	49.459		984.30	242.41		1.828 18.00
30	PEPSICO INC SYMBOL: PEP/RATING: A	09/01/00	1,271.66	42.389	48.69	1,460.70	189.04	LT	1.191 17.40
20	PHARMACIA CORP SYMBOL: PHA/RATING: B	09/01/00	1,170.00	58.50	42.65	853.00	(317.00)	LT	
14		08/08/01	624.09	44.577	42.65	597.10	(26.99)	ST	
11		08/08/01	490.36	44.577	42.65	469.15	(21.21)	ST	
45			2,284.45	50.765		1,919.25	(365.20)		1.266 24.30

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

Ref: 0000[redacted]

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
110	PIER 1 IMPORTS INC-DEL	01/04/01	$ 1,051.23	$ 9.556	$ 17.34	$ 1,907.40	$ 856.17	ST	
20	SYMBOL: PIR/RATING: B +	08/27/01	233.32	11.666	17.34	346.80	113.48	ST	
130			**1,284.55**	**9.881**		**2,254.20**	**969.65**		.922 20.80
45	RAYTHEON COMPANY NEW SYMBOL: RTN/RATING: B +	11/30/01	**1,418.40**	31.52	32.47	**1,461.15**	42.75	ST	2.463 36.00
30	REALNETWORKS INC	02/07/01	250.12	8.337	5.94	178.20	(71.92)	ST	
10	SYMBOL: RNWK	02/22/01	73.71	7.371	5.94	59.40	(14.31)	ST	
1		03/19/01	5.53	5.53	5.94	5.94	.41	ST	
10		03/20/01	59.51	5.95	5.94	59.40	(.11)	ST	
55		09/04/01	394.87	7.179	5.94	326.70	(68.17)	ST	
5		09/06/01	32.93	6.586	5.94	29.70	(3.23)	ST	
40		10/01/01	191.71	4.792	5.94	237.60	45.89	ST	
151			**1,008.38**	**6.678**		**896.94**	**(111.44)**		
10	SCHERING PLOUGH CORP	02/21/01	430.00	42.999	35.81	358.10	(71.90)	ST	
10	SYMBOL: SGP/RATING: A +	03/19/01	362.08	36.208	35.81	358.10	(3.98)	ST	
20		04/26/01	780.34	39.017	35.81	716.20	(64.14)	ST	
40			**1,572.40**	**39.31**		**1,432.40**	**(140.00)**		1.787 25.60
75	SCIENTIFIC ATLANTA INC	08/30/01	1,509.15	20.122	23.94	1,795.50	286.35	ST	
10	SYMBOL: SFA/RATING: A-	10/02/01	172.99	17.298	23.94	239.40	66.41	ST	
85			**1,682.14**	**19.79**		**2,034.90**	**352.76**		.167 3.40
10	SYMANTEC CORP	03/15/01	450.59	45.059	66.33	663.30	212.71	ST	
10	SYMBOL: SYMC/RATING: B-	07/19/01	376.20	37.62	66.33	663.30	287.10	ST	
5		08/07/01	208.05	41.61	66.33	331.65	123.60	ST	
5		09/28/01	172.98	34.596	66.33	331.65	158.67	ST	
30			**1,207.82**	**40.261**		**1,989.90**	**782.08**		
20	TEXAS INSTRUMENTS INC	09/07/00	1,263.74	63.187	28.00	560.00	(703.74)	LT	
10	SYMBOL: TXN/RATING: B +	10/10/00	429.95	42.995	28.00	280.00	(149.95)	LT	
30		07/06/01	965.60	32.186	28.00	840.00	(125.60)	ST	
10		07/23/01	308.63	30.862	28.00	280.00	(28.63)	ST	
70			**2,967.92**	**42.399**		**1,960.00**	**(1,007.92)**		.303 5.95

Select Client Statement

December 1 - December 31, 2001

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LESLIE P GORDON [redacted]

Common stocks & options *continued*

Quantity	Description	Date acquired	Cost	Share cost	Current share price	Current value	Unrealized gain/(loss)		Average % Yield/Anticipated Income (annualized)
39	USX MARATHON GROUP	01/25/01	$ 1,067.16	$ 27.363	$ 30.00	$ 1,170.00	$ 102.84	ST	
20	SYMBOL: MRO/RATING: B	07/12/01	560.69	28.034	30.00	600.00	39.31	ST	
59			**1,627.85**	**27.591**		**1,770.00**	**142.15**		**3.066** **54.28**
32	VARCO INTL INC DEL	01/25/01	642.73	20.085	14.98	479.36	(163.37)	ST	
14	SYMBOL: VRC/RATING: B-	01/26/01	281.57	20.111	14.98	209.72	(71.85)	ST	
10		01/29/01	202.73	20.272	14.98	149.80	(52.93)	ST	
30		06/29/01	557.75	18.591	14.98	449.40	(108.35)	ST	
20		07/12/01	309.89	15.494	14.98	299.60	(10.29)	ST	
20		09/27/01	215.76	10.787	14.98	299.60	83.84	ST	
126			**2,210.43**	**17.543**		**1,887.48**	**(322.95)**		
19	VARIAN SEMICONDUCTOR EQUIPMENT	10/10/00	595.70	31.352	34.59	657.21	61.51	LT	
10	ASSOCS INC	10/11/00	345.20	34.519	34.59	345.90	.70	LT	
10	SYMBOL: VSEA	11/06/00	244.09	24.409	34.59	345.90	101.81	LT	
10		12/05/00	207.07	20.707	34.59	345.90	138.83	LT	
49			**1,392.06**	**28.409**		**1,694.91**	**302.85**		
70	VODAFONE GROUP PLC SP ADR SYMBOL: VOD	07/31/01	**1,515.75**	21.653	25.68	**1,797.60**	**281.85**	ST	**.802** **14.42**
30	WAL-MART STORES INC	09/06/00	1,500.00	50.00	57.55	1,726.50	226.50	LT	
10	SYMBOL: WMT/RATING: A+	08/27/01	505.36	50.536	57.55	575.50	70.14	ST	
40			**2,005.36**	**50.134**		**2,302.00**	**296.64**		**.486** 11.20
30	WEYERHAEUSER CO SYMBOL: WY/RATING: B+	09/11/00	**1,324.65**	44.155	54.08	**1,622.40**	**297.75**	LT	**2.958** **48.00**
40	WORLDCOM INC WORLDCOM GROUP	10/26/00	850.77	21.269	14.08	563.20	(287.57)	LT	
30	COM	11/02/00	540.46	18.015	14.08	422.40	(118.06)	LT	
10	SYMBOL: WCOM/RATING: B	11/27/00	155.63	15.563	14.08	140.80	(14.83)	LT	
80		07/27/01	1,172.94	14.661	14.08	1,126.40	(46.54)	ST	
160			**2,719.80**	**16.999**		**2,252.80**	**(467.00)**		
1.5	WORLDCOM INC GA NEW MCI GROUP	10/26/00	32.28	22.953	12.70	19.05	(13.23)	LT	
1.125	COM	11/02/00	20.51	18.448	12.70	14.29	(6.22)	LT	
.375	SYMBOL: MCIT	11/27/00	5.91	16.80	12.70	4.76	(1.15)	LT	
3			**58.70**	**19.567**		**38.10**	**(20.60)**		**18.897** 7.20
Total common stocks and options			[redacted]			[redacted]	[redacted] [redacted]	ST LT	[redacted]

SALOMON SMITH BARNEY

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Select Client Statement

December 1 - December 31, 2001

[redacted] H

LESLIE P GORDON A[redacted]

Bonds

Unrealized gains & losses have been adjusted to account for the accretion of OID, the amortization of premium, and/or the accretion of market discount.
Call features shown indicate the next regularly scheduled call date and price. Your holdings may be subject to other redemption features including sinking funds or extraordinary calls.

Government bonds

Amount	Description	Date acquired	Cost/ Adjusted cost	Share cost/ Adjusted share cost	Current share price/Accrued interest	Current value	Unrealized Gain/(loss) Original/ Adjusted		Current % Yield/ Anticip. income (annualized)	Ordinary Income/ Capital gain/(loss)
10,000	U S TREASURY NOTES SER G 2007 DTD 2/15/1997	08/31/00	$ 10,146.31 $ 10,119.10	$ 101.463 $ 101.191	106.063	$ 10,806.30	$ 660.99 $ 687.20	LT LT		$ 0.00 $ 687.20
8,000	INT: 06.250% MATY: 02/15/2007	06/15/01	8,525.00 8,481.68	106.562 106.021	106.063	8,645.04	120.04 163.36	ST ST		0.00 163.36
18,000			18,670.31 18,600.78	103.70 103.30	 421.87	19,451.34	781.03 850.56		5.783 1,128.00	0.00 850.56
15,000	U S TREASURY NOTES SER C 2008 DTD 5/15/1998	08/31/00	14,714.06 14,714.06	98.093 98.093	104.813	15,721.95	1,007.89 1,007.89	LT LT		0.00 1,007.89
4,000	INT: 05.625% MATY: 05/15/2008	06/15/01	4,125.00 4,116.80	103.125 102.92	104.813	4,192.52	67.52 75.72	ST ST		0.00 75.72
19,000			18,839.06 18,830.86	99.20 99.10	 135.90	19,914.47	1,075.41 1,083.61		5.366 1,068.75	0.00 1,083.61
Total government bonds 37,000			[redacted]		$557.77	[redacted]	[redacted]	ST LT	[redacted]	[redacted]
Total portfolio value						[redacted]		ST LT		

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Investment activity

Date	Activity	Description	Quantity	Price	Amount
12/05/01	Bought	RAYTHEON COMPANY NEW	45	$ 31.52	$ -1,418.40
12/11/01	Bought	COUNTRYWIDE CREDIT INDS INC DE	5	39.172	-195.86
Total securities bought and other subtractions					$ -1,614.26
Total securities sold and other additions					$ 0.00

Money funds activity

Opening money funds balance $ 3,007.21

All transactions are traded at $1.00 per share.

Date	Activity	Description	Amount	Date	Activity	Description	Amount
12/03/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	240.49	12/13/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	4.50
12/04/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	38.18	12/17/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	14.50
12/05/01	Redemption	SB MONEY FUNDS CASH PORT CL A	-1,411.20	12/24/01	Autoinvest	SB MONEY FUNDS CASH PORT CL A	16.80

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Select Client
Education IRA Statement

December 31, 2001

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[redacted]5 301365AB01 WEB00579A
LESLIE P GORDON
SSB EDUCATION IRA CUSTODIAN
[redacted]
25[redacted]
W[redacted]13

SALOMON SMITH BARNEY INC. [redacted]
Your Financial Consultant
[redacted]
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
732-224-3789
Select Service Center:1-800-423-7248
Branch: 800-662-3108
E[redacted]

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Salomon Smith Barney Inc. is a member of the Securities Investor Protection Corporation (SIPC).

SUBSTITUTE 2001 IRS FORM 5498 - INDIVIDUAL RETIREMENT ARRANGEMENT INFORMATION is attached to this statement. See the page following Form 5498 for additional information and instructions about IRS Form 5498.

Account value	Last period	This period
Bank Deposit Program℠-principal	$ 0.00	$ 600.00
Net value	$ 0.00	$ 600.00

Fair Market Value 12/31/01 $ 600.00

Cash balance	This period	This year
Opening balance	$ 0.00	
Deposits	600.00	600.00
Closing balance	$ 600.00	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

SALOMON SMITH BARNEY
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Select Client
Education IRA Statement

December 31, 2001

Ref: 0001[redacted] H

LESLIE P GORDON [redacted]

Education IRA activity summary

For your convenience, the following is a summary of contributions, rollovers, distributions, and transfers made into and out of this Education IRA. Salomon Smith Barney reports contribution, rollover, and distribution information to the IRS.
Note: Federal law limits total contributions to an Education IRA to $500 per year.

	2001	2000	Since Inception*
Contributions			
Non-deductible	$ 500.00	$ 0.00	$ 500.00
Total contributions	$ 500.00	$ 0.00	$ 500.00
Rollovers and Transfers			
Total amount rolled over	0.00	0.00	0.00

**Note: This column reflects activity (does not include incoming or outgoing transfers of cash & securities) from your account opening date or 01/01/94, whichever is later, unless you provide details of prior activity. This column is provided for informational purposes only. Salomon Smith Barney is not responsible for any information you provide. Please contact your Financial Consultant if you wish to adjust this column.*

Portfolio details *The values of your holdings are as of 12/31/01*

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

Research ratings of Salomon Smith Barney Inc., Standard & Poor's and Moody's Investors Service may be shown for certain securities. All research ratings represent the "opinions" of the research provider and should not be construed as representations or guarantees of performance. Your Financial Consultant will be pleased to provide you with further information or assistance in interpreting research ratings.

Bank Deposit Program℠

Balances are FDIC insured up to $100,000 per institution, subject to combined total of all your deposits, including those outside this account.

Description	Principal	Market value	Accrued interest	Annual % return	Comment
CITIBANK NA BANK DEPOSIT PROGRAM	500.00	$ 500.00		1.60%	
Total Bank Deposit Program		$ 500.00	$ 0.00		

SALOMON SMITH BARNEY

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Ref: 0001[redacted]

Select Client
Education IRA Statement

December 31, 2001

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LESLIE P GORDON ***Account numb***[redacted]

Transaction details *All dates of transactions appearing on this statement are settlement dates.*

Deposits

Date	Description	Amount	Date	Description	Amount
12/28/01	DEPOSIT RECEIVED AT 00679 - RED BANK, N.J. CURRENT YR NONDEDUCTIBLE	500.00			

Bank Deposit Program℠ activity

Date	Activity	Description	Amount	Date	Activity	Description	Amount
		Opening balance	$ 0.00				
12/31/01	Autodeposit	BANK DEPOSIT PROGRAM	500.00			**Closing balance**	$ 500.00

Message: *Next month we will be able to consolidate your statements in one envelope. This will assure that all consolidated statements will arrive at the same time. If you wish to add accounts or do not wish to take advantage of this service, please contact your Financial Consultant.*

Information regarding commissions and charges will be made available to you promptly upon request. Please advise us of any material change in your financial objectives or financial situation. All checks written and deposited to your account must be made payable to Salomon Smith Barney Inc.

If you believe your statement is not correct, you must, within ten (10) days, contact either the Manager of the branch servicing your account or Salomon Smith Barney Inc., Attention: Compliance Department, 77 Water Street, 19th Floor, New York, NY 10005.

SALOMON SMITH BARNEY

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Select Client Statement

December 31, 2001

Page 2 of 3

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Ref: 00008921 00033818

LESLIE P GORDON ACF [redacted]

Portfolio details The values of your holdings are as of 12/31/01.

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

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Bank Deposit Program℠

Balances are FDIC insured up to $100,000 per institution, subject to combined total of all your deposits, including those outside this account.

Description	Principal	Market value	Accrued interest	Annual % return	Comment
CITIBANK NA BANK DEPOSIT PROGRAM	20,000.00	$ 20,000.00		1.80%	
Total Bank Deposit Program		$ 20,000.00	[illegible]		

Transaction details All dates of transactions appearing on this statement are settlement dates.

Deposits

Date	Description	Amount	Date	Description	Amount
12/28/01	[redacted]	20,000.00			

Bank Deposit Program℠ activity

Date	Activity	Description	Amount	Date	Activity	Description	Amount
		Opening balance	$ 0.00				
12/31/01	Autodeposit	BANK DEPOSIT PROGRAM	20,000.00			Closing balance	$ 20,000.00

Message: *Next month we will be able to consolidate your statements in one envelope. This will assure that all consolidated statements will arrive at the same time. If you wish to add accounts or do not wish to take advantage of this service, please contact your Financial Consultant.*

SALOMON SMITH BARNEY J

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Select Client Statement

December 31, 2001

Page 1 of 3

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579L01711110250000006923 301365AB01 WEB00579A
LESLIE P GORDON AND
BARTON JENNINGS GORDON JTWROS
[redacted]

SALOMON SMITH BARNEY INC. [redacted]
Your Financial Consultant

CHRIS VASILIU
55 BROAD STREET
FIRST & SECOND FLOOR
RED BANK, NJ 07701
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Select Service Center:1-800-423-7248
Branch: 800-862-3108
Email: christopher.j.vasiliu@ssmb.com

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Salomon Smith Barney Inc. is a member of the Securities Investor Protection Corporation (SIPC).

Account value	Last period	This period
Bank Deposit Program℠-principal	$ 0.00	$ 30,001.27
Bank Deposit Program-accrued interest	0.00	1.27
Net value	$ 0.00	$ 30,002.54

Earnings summary	This period	This year Taxable	This year Non-taxable
Bank Deposit Program interest	$ 1.27	$ 1.27	$ 0.00
Total	$ 1.27	$ 1.27	$ 0.00

Cash balance	This period	This year
Opening balance	$ 0.00	
Deposits	50,000.00	50,000.00
Withdrawals	-20,000.00	-20,000.00
Bank Deposit Program℠ interest reinvested	1.27	
Closing balance	$ 30,001.27	

A free credit balance in any securities account may be paid to you on demand. Although properly accounted for on our books and records, these funds may be used for our business purposes.

SALOMON SMITH BARNEY
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Select Client Statement

December 31, 2001

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[redacted]

LESLIE P GORDON AND [redacted]

Portfolio details [illegible]

Dividend yield is the estimated annual income, assuming the current dividend, divided by the security's market price at the end of the statement period. Salomon Smith Barney Inc. does not guarantee the accuracy of prices reflected on the statement nor do these prices represent levels at which securities can be bought or sold.

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Bank Deposit Program℠

Balances are FDIC insured up to $100,000 per institution, subject to combined total of all your deposits, including those outside this account.

Description	Principal	Market value	Accrued interest	Annual % return	Comment
CITIBANK NA BANK DEPOSIT PROGRAM	30,001.27	$ 30,001.27	$ 1.27	1.60%	

[illegible]

Transaction details [illegible]

Deposits

Date	Description	Amount	Date	Description	Amount
12/28/01	[redacted]	50,000.00			

Withdrawals

Date	Description	Reference no.	Amount	Date	Description	Reference no.	Amount
12/28/01	[redacted]		20,000.00				

Bank Deposit Program℠ activity

Date	Activity	Description	Amount	Date	Activity	Description	Amount
	Opening balance		$ 0.00				
12/28/01	Withdrawal	BANK DEPOSIT PROGRAM	-20,000.00	12/28/01	Autodeposit	BANK DEPOSIT PROGRAM	50,000.00
						BANK DEPOSIT PROGRAM INTEREST CREDITED (SEE DETAILS UNDER EARNINGS DETAILS)	1.27
						Closing balance	$ 30,001.27

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 6
For use by Members, officers, and employees

Lindsey Olin Graham
(Full Name)

1429 Longworth House Office Building · Washington, DC 20003
(Mailing Address)

2022255301
Daytime Telephone:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status	☑ Member of the U.S. House of Representatives	State: SC District: 03	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, [illegible] amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lindsey Olin Graham

Page 2 of 6

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Putnam New Opportunities Fund	$1,001 - $15,000	DIVIDENDS	NONE	
	Mass Mutual Life (SEP-IRA)	$15,001 - $50,000	INTEREST	$1 - $200	
	Goldman Sachs Trust MF	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	This mutual fund was listed twice on the '00 disclosure.
	Pioneer Small Company MF	$15,001 - $50,000	NONE	NONE	
	Putnam Health Sciences MF	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lindsey Olin Graham

Page 3 of 6

	MFS Emerging Growth MF	$15,001 - $50,000	CAPITAL GAINS	NONE	
	Edgewater Tech, Inc	$1 - $1,000	DIVIDENDS	$1 - $200	
	Zweig Total Return Fund	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	UIT Van Kampen Focus	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Live Oak General MMF	$1 - $1,000	DIVIDENDS	$1 - $200	
	Pimco Innovation Fund CL C	$1 - $1,000	DIVIDENDS	NONE	
	SunAmerica Style Select Ser Focused Growth Portf. CL II	$1,001 - $15,000	DIVIDENDS	NONE	
	Mass Investor Trust CL A	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	
	VK Emerging Growth Fund	$1,001 - $15,000	DIVIDENDS	NONE	
	First Citizens Bank (checking/savings)	$15,001 - $50,000	INTEREST	$201 - $1,000	name change from First Union to First Citizens Bank
	Wright Patman Cong. Fed. Credit Union (checking/savings)	$1,001 - $15,000	INTEREST	$1 - $200	
	Charles Schwab One Account	$1,001 - $15,000	INTEREST	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Lindsey Olin Graham

Page 4 of 8

	Property at Cross Creek Plantation (undeveloped)--lot#9, block B--Seneca, SC	$1,001 - $15,000	NONE	NONE	
	CIBC Oppenheimer (FMA) ***see attachment #1***	n/a	n/a	n/a	P

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SCHEDULE IV - TRANSACTIONS

Name Lindsey Olin Graham	Page 6 of 8

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	CIBC Oppenheimer FMA ***see attachment #2***	P	08/02/01	$1,001 - $15,000
	Edgewater Technology, Inc.	S	01/30/01	$1-$1,000
	UIT Van Kampen Focus	P	10/23/01	$1,001 - $15,000
	MFS Emerging Growth MF	P	01/16/01- 12/17/01 Automatic reinvestment	$1,001 - $15,000
	UIT Van Kampen Focus	S	10/23/01	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Lindsey Olin Graham

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
SouthEastern Legal Foundation	10-27-01	Columbia-Atlanta (one-way)	N	N	N	N/A

Attachment #1

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CIBC Oppenheimer
A Division of CIBC World Markets Corp.

CIBC World Markets Corp
425 Lexington Avenue
New York, New York 10017-3903
(212) 856 4000
www.cibcoppenheimer.com

CLIENT ACCOUNT STATEMENT

LINDSEY GRAHAM
253 STONEHAVEN WAY
SENECA SC 29672-9136

Page	Account Number	Account Executive	Period Ending
2 OF 3	092-47739	EARL THOMAS BYRD - 423	12/31 01

Portfolio Holdings

Some prices, current values and income estimates may be approximations, resulting in gains and losses not being accurately reflected. Unrealized gains and/or losses are computed from the supplied cost basis data and may not be accurate for tax reporting purposes. Items for which a cost basis was not available as of the statement period ending date are indicated by the symbol N/A. Please contact your account executive if you believe any cost basis related data is inaccurate or if you require additional information.

Money Market Funds

Description	Account Type	Quantity	Symbol	Unit Cost	Current Price	Total Cost Basis	Current Value	Estimated Annual Yield	Estimated Annual Income	Portfolio Percent
OCC CASH RESERVES-PRIMARY PORTFOLIO	CASH	194.66	OPRXX	1.0000	1.00000	194.66	194.66	1.7	3	1.45
SUB-TOTAL MONEY MARKET FUNDS						194.66	194.66		3	1.45

Equities
Common Stock

Description	Account Type	Quantity	Symbol	Open Date	Unit Cost	Current Price	Total Cost Basis	Current Value	Unrealized Gain/(Loss)	Estimated Annual Yield	Estimated Annual Income	Portfolio Percent
APPLIED MICRO CIRCUITS COR	(Q) CASH	95	AMCC	08/02/01	18.8500	11.32000	1,843.18	1,075.40	(768)			8.03
CISCO SYSTEMS INC	(Q) CASH	95	CSCO	08/02/01	20.1800	18.11000	1,972.00	1,720.45	(252)			12.85
CITIGROUP INC	(I) CASH	35	C	08/02/01	51.2700	50.48000	1,846.96	1,766.80	(80)	1.267	22	13.20
EMC CORP-MASS	(Q) CASH	85	EMC	08/02/01	21.3400	13.44000	1,866.79	1,142.40	(724)			8.53
INTEL CORP	(Q) CASH	55	INTC	08/02/01	31.9700	31.45000	1,810.15	1,729.75	(80)	0.254	4	12.92
NETWORK APPLIANCE INC	(Q) CASH	115	NTAP	08/02/01	15.7900	21.87000	1,880.84	2,515.05	634			18.79
***NOKIA CORP-SPONSORED AD REPSTG 1 SER A FM 5 PAR	(M) CASH	75	NOK	08/02/01	22.7100	24.53000	1,763.99	1,839.75	■	0.860	16	13.74
SIEBEL SYSTEMS INC	(Q) CASH	50	SEBL	08/02/01	35.7300	27.98000	1,889.83	1,399.00	(491)			10.45
SUB-TOTAL COMMON STOCK							14,863.75	13,188.60	(1,676)		42	98.51
SUB-TOTAL EQUITIES							14,863.75	13,188.60	(1,676)		42	98.51

COMMON STOCK HOLDINGS SUMMARY BY INDUSTRY CODE

(I) 13% FINANCIAL (M) 14% MEDIA & COMMUNICATION (Q) 73% TECHNOLOGY

	Total Cost Basis	Current Value	Unrealized Gain/(Loss)	Estimated Annual Yield	Estimated Annual Income	Portfolio Percent
tal Portfolio Value	$15,058.41	$13,383.29	($1,675)		$45	100%

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securities held by us in your client account(s) are protected in two ways. Through our membership in SIPC (Securities Investor Protection Corp), protection is provided up to $500,000, of which as much as $100,000 can be in cash. The firm [illegible] this by providing similar protection for the remainder of the cash and/or securities that we hold on your behalf. **This statement shall be conclusive if not objected to in writing within ten days.** Please address all [illegible] to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office serving your account. We recommend that you retain this statement to assist you in tax reporting activities.

CIBC Oppenheimer
A Division of CIBC World Markets Corp

CIBC World Markets Corp
425 Lexington Avenue
New York, New York 10017-3903
(212) 856-4000
www.cibcoppenheimer.com

CLIENT ACCOUNT STATEMENT 819

Page	Account Number	Account Executive	Period Ending
3 OF 3	092-47739	EARL THOMAS BYRD - 423	12/31/01

LINDSEY GRAHAM
253 STONEHAVEN WAY
SENECA SC 29672-9136

Transactions/Activity Detail

Unless otherwise noted, transactions listed below will reflect only those transactions which have settled as of the statement period ending date. Estimated realized gains/losses may not be accurate for tax reporting purposes. The oldest security lot is liquidated first to calculate gains/losses first-in, first-out or FIFO accounting unless you specified which lot to close when you placed your order (a versus purchase or VSP order). Gains/losses may not account for all capital changes and are not calculated for zero coupon securities.

Date	Type	Quantity	Transaction	Description	Activity	Price/Entry	Amount	Comments
				** INCOME ACTIVITIES **				
12-03	CASH		DIVIDEND	INTEL CORP	CASH DIV ON 65 SHS REC 11/07/01 PAY 12/01/01	0.0200/sh	1.10 CREDIT	
12-21	CASH		DIVIDEND	OCC CASH RESERVES-PRIMARY PORTFOLIO	MONTHLY DIVIDEND	DIVIDEND	.35 CREDIT	
				Net Income			$1.45 CREDIT	
				** MONEY FUNDS ACTIVITIES **				
12-10	CASH	1.1	FND	OCC CASH RESERVES-PRIMARY PORTFOLIO		FUND	1.10 DEBIT	
12-21	CASH	0.35	M&R	OCC CASH RESERVES-PRIMARY PORTFOLIO	MONTHLY DIVIDEND REINVESTED	REINVESTMENT	.35 DEBIT	
				Net Money Funds Purchased			$1.45 DEBIT	

Additional Information

YTD US TEFRA WITHHOLDING TAX $22.37

**** THIS IS THE END OF YOUR STATEMENT. WE THANK YOU FOR BEING A VALUED CLIENT. ****

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Cash and securities held by us in your client account(s) are protected in two ways. Through our membership in SPC (Securities Investor Protection Corp), protection is provided up to $500,000, of which as much as $100,000 can be in cash. The firm sup ts this by providing similar protection for the remainder of the cash and/or securities that we hold on your beh his statement shall be conclusive if not objected to in writing within ten days. Ple dress all ations to the firm and not to individuals. Address changes or other material changes on your account should be ted to the office serving your account. We recommend that you retain this statement to assist you in tax repo ctivities

Attachment #2 989

CIBC Oppenheimer
A Division of CIBC World Markets Corp

CIBC World Markets Corp.
425 Lexington Avenue
New York, New York 10017-3903
(212) 856-4000
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CLIENT ACCOUNT STATEMENT

LINDSEY GRAHAM
253 STONEHAVEN WAY
SENECA SC 29672-9136

Page	Account Number	Account Executive	Period Ending
2 OF 3	092-47739	EARL THOMAS BYRD - 423	12/31 01

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Money Market Funds

Description	Account Type	Quantity	Symbol	Unit Cost	Current Price	Total Cost Basis	Current Value	Estimated Annual Yield	Estimated Annual Income	Portfolio Percent
OCC CASH RESERVES-PRIMARY PORTFOLIO	CASH	194.66	OPRXX	1.0000	1.00000	194.66	194.66	1.7	3	1.46
SUB-TOTAL MONEY MARKET FUNDS						194.66	194.66		3	1.46

Equities

Common Stock

Description	Account Type	Quantity	Symbol	Open Date	Unit Cost	Current Price	Total Cost Basis	Current Value	Unrealized Gain/(Loss)	Estimated Annual Yield	Estimated Annual Income	Portfolio Percent
APPLIED MICRO CIRCUITS COR	(Q) CASH	95	AMCC	08/02/01	19.8500	11.32000	1,843.19	1,075.40	(768)			8.03
CISCO SYSTEMS INC	(Q) CASH	95	CSCO	08/02/01	20.1800	18.11000	1,972.00	1,720.45	(252)			12.86
CITIGROUP INC	(I) CASH	35	C	08/02/01	51.2700	50.48000	1,846.96	1,766.60	(80)	1.267	22	13.20
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INTEL CORP	(Q) CASH	[redacted]	INTC	08/02/01	31.9700	31.45000	1,810.15	1,729.75	(80)	0.254	4	12.92
NETWORK APPLIANCE INC	(Q) CASH	115	NTAP	08/02/01	15.7900	21.87000	1,880.84	2,515.05	634			18.79
***NOKIA CORP-SPONSORED AD REPSTG 1 SER A FM 5 PAR	(M) CASH	75	NOK	08/02/01	22.7100	24.53000	1,753.99	1,839.75	86	0.060	16	13.74
SIEBEL SYSTEMS INC	(Q) CASH	50	SEBL	08/02/01	36.7300	27.98000	1,889.83	1,399.00	(491)			10.45
SUB-TOTAL COMMON STOCK							14,853.76	13,188.60	(1,676)		42	98.51
SUB-TOTAL EQUITIES							14,853.76	13,188.60	(1,676)		42	98.51

COMMON STOCK HOLDINGS SUMMARY BY INDUSTRY CODE

(I) 13% FINANCIAL (M) 14% MEDIA & COMMUNICATION (Q) 73% TECHNOLOGY

	Total Cost Basis	Current Value	Unrealized Gain/(Loss)	Estimated Annual Yield	Estimated Annual Income	Portfolio Percent
Total Portfolio Value	$15,048.41	$13,383.26	($1,676)		$45	100%

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nd securities held by us in your client account(s) are protected in two ways. Through our membership in SIPC (Securities Investor Protection Corp), protection is provided up to $500,000, of which as much as $100,000 can be in cash. The firm ...es this by providing similar protection for the remainder of the cash and/or securities that we hold on your behalf. **This statement shall be conclusive if not objected to in writing within ten days.** Please address all ...ser to the firm and not to individuals. Address changes or other material changes on your account should be directed to the office serving your account. We recommend that you retain this statement to assist you in tax reporting activities.

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

(15)

LEGISLATIVE RESOURCE CENTER
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MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Samuel Bruce "Sam" Graves, Jr.
(Full Name)

110 S. 10th Street
Tarkio, Missouri 64491
(Mailing Address)

(202) 225-7041 or
[Terry J. Brady (816) 460-5635]
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: Missouri District: Sixth	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (*Month, Day, Year*)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		May 13, 2002

Name Samuel B. "Sam" Graves, Jr.	Page 2 of 15

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Tarkio, Missouri R-1 School District	Teachers Salary of Leslie J. Graves, spouse	

For payments to charity in lieu of honoraria, use Schedule II.

Samuel B. "Sam" Graves, Jr.
Name

Page 3 **of** 15

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Samuel B. "Sam" Graves, Jr.

Page 4 of 15

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	*Examples* Mega Corp. Stock					X								X										X								P
	Examples Simon & Schuster		Indefinite																	Royalties									X			
	Examples 1st Bank of Paducah, KY accounts						X									X										X						
	Sam Graves Farms: Clark Township & Tarkio Township, Atchison County, MO							X												Gross Farm Income									X			
	Rydex Mutual Funds/OTC Index Fund					X								X			X					X										
	Janus Mercury Fund			X										X			X					X										
	Janus Enterprise Fund		X											X			X					X										
	Janus Strategic Value Fund			X										X			X					X										

For additional assets and unearned income, use next page.

* See Attached Brokerage Statement

* See Attachment 3

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Samuel B. "Sam" Graves, Jr.   **Page** 5 **of** 15

	BLOCK A **Asset and/or Income Source**	BLOCK B **Year-End Value of Asset**												BLOCK C **Type of Income**							BLOCK D **Amount of Income**											BLOCK E **Transaction**
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	Janus Global Technology Fund		X											X			X					X										
	Alamosa PCS Holdings (APCS)			X										X								X										
	Oracle Corporation			X										X								X										
	Cisco Systems		X											X								X										
	E-Trade Checking Account				X											X							X									
	Golden Triangle Energy Cooperative			X																	X											
	Small Town Investment Club			X										X			X					X										P, S **
	Farm Equipment & Machinery					X																										
	Mercantile Bank (Firstar) 2 Checking Accounts			X												X						X										
	American Century Ultra Mutual Fund (Deferred Compensation Plan)- See Section IX			X										X							X											
	State of Missouri Employee Retirement System	X												X							X											
	EMC Corporation			X																	X											
	Atmel Corporation			X																	X											

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SCHEDULE III (Cont.)

Attachment 3

Small Town Investment Club

Interest of Sam Graves: **10%**

Ameritrade™

P O BOX 2209
OMAHA NE, 68103-2209
800-669-3900

SIPC

Account No.	Your Representative	Statement Period
162 - 879274	BB	12/01/2001-12/31/2001

SMALL TOWN INVESTMENT CLUB
PRTNRSHP
ATTN: BRENT HRABIK
PARTNERSHIP
1405 LINCOLN ST
EMPORIA, KS 66801

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Account Summary As Of 12/31/2001 Client Accounts Protected Up To $25,000,000

Portfolio Summary

	Current Month Value	% of Long Value
Stocks	$16,654	100.0
*Long Market Value	$16,654	100.0
Cash Account (1) Balance	$6,455	
*Net Account Value	$23,109	
*Total Equity	$23,109	

*Excludes unpriced securities(NP)

Money Balance Summary

Account Type	Opening Balance	Closing Balance
Cash Account (1)	$1,179.65	$6,454.53
Net Cash Balance	$1,179.85	$6,454.53
Total Money Balance	$1,179.85	$6,454.53

Income Summary

Description	Current	Year to Date
Ordinary Dividends	$15.84	378.14
Interest Income Credit Balance	.00	6.46
Foreign Tax Withheld	.00	1.15

Security Positions

Acct Type	Quantity	Description	Ticker Symbol	Market Price	Market Value
1	100	AVANEX CORP COM	AVNX	$5.9	$590
1	1000	E PRIME AEROSPACE CORP N/C 10-87 WAS BANGOR INVTS COR	EPEA	0.027	27
1	25	ENGINEERED SUPPORT SYS INC COM	EASI	34.21	855
1	200	ERICSSON L M TEL CO ADR CL B SEK 10	ERICY	5.22	1,044
1	53	HARLEY DAVIDSON INC COM	HDI	54.31	2,878
1	100	MCDERMOTT INTL INC COM	MDR	12.27	1,227

1	10	MERCK & CO INC COM	MRK	58.8	588
1	12	MICROSOFT CORP COM	MSFT	66.25	795
1	20	NATIONAL SEMICONDUCTOR CORP COM	NSM	30.79	616
1	100	NORTEL NETWORK CORPORATION COM	NT	7.46	746
1	25	PLUM CREEK TIMBER CO INC COM	PCL	28.35	709
1	50	SOUTHWEST AIRLINES CO COM	LUV	18.48	924
1	22	UNITED PARCEL SERVICE CL B	UPS	54.5	1,199
1	65	WAL-MART STORES COM	WMT	57.55	3,741
1	1	WORLDCOM INC MCI GROUP COM	MCIT	12.7	13
1	31	YANKEE CANDLE CO COM	YCC	22.66	702
Total Account Value					**$16,654**

Account Activity

Date	Transaction	Description	Quantity	Price /Rate	Debit	Credit
		OPENING BAL CASH ACCOUNT				**$1,179.85**
12/12/2001	SELL	ADC TELECOMMUNICATIONS INC COM	100	5.56		547.98
12/12/2001	SELL	LEVEL 3 COMMUNICATIONS INC COM	100	6.4		631.97
12/12/2001	SELL	WORLDCOM INC WORLDCOM GROUP COM	30	15.7		462.98
12/12/2001	SELL	STILWELL FINANCIAL INC COM	100	26.24		2,615.91
12/28/2001	DIV/INT	HARLEY DAVIDSON INC COM Payable: 12/28/2001 Ordinary Dividends 1.59				1.59
12/28/2001	DIV/INT	PLUM CREEK TIMBER CO INC COM Payable: 12/28/2001 Ordinary Dividends 14.25				14.25
12/31/2001	CASH REC'D	CASH RECEIPT				100.00
12/31/2001	CASH REC'D	CASH RECEIPT				100.00
12/31/2001	CASH REC'D	CASH RECEIPT				100.00
12/31/2001	CASH REC'D	CASH RECEIPT				100.00
12/31/2001	CASH REC'D	CASH RECEIPT				200.00
12/31/2001	CASH REC'D	CASH RECEIPT				300.00
12/31/2001	CASH REC'D	CASH RECEIPT				100.00
		CLOSING BAL CASH ACCOUNT				**$6,454.53**
Total Account Balance						**$6,454.53**

Statement of Interest Credited

Begin Date	Credit Balance	Number of Days	Interest Rate	Interest Credited
12/12/2001	$5,438.69	16	0.1	$0.24
12/28/2001	5,454.53	3	0.1	0.04
12/31/2001	6,454.53	1	0.1	0.02
Total Interest to Be Credited				**$0.30**

Disclosures

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* ABSENT SPECIFIC CUSTOMER DIRECTION, STOCK AND OPTION ORDERS ARE ROUTED VIA AN          *
* ELECTRONIC MATRIX TO A LISTED, NASDAQ, OR OVER-THE-COUNTER AGENT, OR OPTIONS EXCHANGE, *
* DEPENDING UPON THE SECURITY BEING TRADED.  ADVANCED CLEARING OR THE INTRODUCING BROKER *
* MAY RECEIVE CASH PAYMENT FOR ROUTING SUCH CUSTOMER STOCK OR OPTION ORDERS FOR          *
* EXECUTION TO CERTAIN AGENTS ON SPECIFIC LISTED, NASDAQ, OVER-THE-COUNTER, OR OPTION    *
* SECURITIES. BECAUSE THESE AGENTS ARE MARKET MAKERS, THEY CARRY INVENTORY IN THEIR      *
* SPECIFIC SECURITIES, ALLOWING FOR PRICE IMPROVEMENT TO THE RETAIL CUSTOMER BY TRADING  *
```

Name Samuel B. "Sam" Graves, Jr. | Page 9 of 15

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	EMC Corporation	X			9/21/01	X									
	Atmel Corporation	X			9/21/01	X									
	See attached K-1 for Small Town Investment Club schedule of equities disposed of and capital gain or loss relating thereto					X									

This page may be copied if more space is required.

Schedule K-1
(Form 1065)
Department of the Treasury
Internal Revenue Service

Partner's Share of Income, Credits, Deductions, Etc

For calendar year 2001 or tax year
beginning , 2001, and ending , 20

OMB No. 1545-0099
2001

Partner's identifying number ► 486-76-2730

Partnership's identifying number ► 43-1838546

Partner's Name, Address, and ZIP Code
SAMUEL BRUCE GRAVES
110 S. 10TH
TARKIO, MO 64491

Partnership's Name, Address, and ZIP Code
SMALL TOWN INVESTMENT CLUB
%ROBERT L. KOCH
25147 190TH STREET
TARKIO, MO 64491

A This partner is a ☒ general partner ☐ limited partner ☐ limited liability company member
B What type of entity is this partner? ► INDIVIDUAL
C Is this partner a ☒ domestic or a ☐ foreign partner?

D Enter partner's % of:	(i) Before change or termination	(ii) End of year
Profit sharing	%	10.00000 %
Loss sharing	%	10.00000 %
Ownership of capital	%	10.00000 %

E IRS Center where partnership filed return: OGDEN, UT

F Partner's share of liabilities:
Nonrecourse $
Qualified nonrecourse financing $
Other $
G Tax shelter registration number ►
H Check here if this partnership is a publicly traded partnership as defined in Section 469(k)(2) ☐
I Check applicable boxes: (1) ☐ Final K-1 (2) ☐ Amended K-1

J Analysis of partner's capital account:

(a) Capital account at beginning of year	(b) Capital contributed during year	(c) Partner's share of lines 3, 4, and 7, Form 1065, Schedule M-2	(d) Withdrawals and distributions	(e) Capital account at end of year (combine columns (a) through (d))

	(a) Distributive share item		(b) Amount	(c) 1040 filers enter the amount in column (b) on:
Income (Loss)	1 Ordinary income (loss) from trade or business activities	1		See Partner's Instructions for Schedule K-1 (Form 1065).
	2 Net income (loss) from rental real estate activities	2		
	3 Net income (loss) from other rental activities	3		
	4 Portfolio income (loss):			
	a Interest	4a		Schedule B, Part I, line 1
	b Ordinary dividends	4b	7.	Schedule B, Part II, line 5
	c Royalties	4c		Schedule E, Part I, line 4
	d Net short-term capital gain (loss)	4d	-17.	Schedule D, line 5, column (f)
	e (1) Net long-term capital gain (loss)	4e(1)	-1,081.	Schedule D, line 12, column (f)
	(2) 28% rate gain (loss)	4e(2)		Schedule D, line 12, column (g)
	(3) Qualified 5-year gain	4e(3)		Line 4 of worksheet for Sch D, line 29
	f Other portfolio income (loss) (attach schedule)	4f		Enter on applicable ln of your return
	5 Guaranteed payments to partner	5		See Partner's Instructions for Schedule K-1 (Form 1065).
	6 Net Section 1231 gain (loss) (other than due to casualty or theft)	6		
	7 Other income (loss) (attach schedule)	7		Enter on applicable ln of your return
Deductions	8 Charitable contributions (see instructions) (attach schedule)	8		Schedule A, line 15 or 16
	9 Section 179 expense deduction	9		See Partner's Instructions for Schedule K-1 (Form 1065).
	10 Deductions related to portfolio income (attach schedule) SEE LINE 25	10	10.	
	11 Other deductions (attach schedule)	11		
Credits	12a Low-income housing credit:			
	(1) From Section 42(j)(5) partnerships	12a(1)		Form 8586, line 5
	(2) Other than on line 12a(1)	12a(2)		
	b Qualified rehabilitation expenditures related to rental real estate activities	12b		See Partner's Instructions for Schedule K-1 (Form 1065).
	c Credits (other than credits shown on lines 12a and 12b) related to rental real estate activities	12c		
	d Credits related to other rental activities	12d		
	13 Other credits	13		

BAA For Paperwork Reduction Act Notice, see Instructions for Form 1065.

Schedule K-1 (Form 1065) 2001

PTPA0312 01/01/02

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Schedule K-1 (Form 1065) 2001 SAMUEL BRUCE GRAVES 486-78-2780 Page 2

	(a) Distributive share item		(b) Amount	(c) 1040 filers enter the amount in column (b) on:
Investment Interest	14a Interest expense on investment debts	14a		Form 4952, line 1
	b (1) Investment income included on lines 4a, 4b, 4c, and 4f	14b(1)	7.	See Partner's Instructions for Schedule K-1 (Form 1065).
	(2) Investment expenses included on line 10	14b(2)	10.	
Self-employment	15a Net earnings (loss) from self-employment	15a		Schedule SE, Section A or B
	b Gross farming or fishing income	15b		See Partner's Instructions for Schedule K-1 (Form 1065).
	c Gross nonfarm income	15c		
Adjustments and Tax Preference Items	16a Depreciation adjustment on property placed in service after 1986	16a		See Partner's Instructions for Schedule K-1 (Form 1065) and Instructions for Form 6251.
	b Adjusted gain or loss	16b		
	c Depletion (other than oil and gas)	16c		
	d (1) Gross income from oil, gas, and geothermal properties	16d(1)		
	(2) Deductions allocable to oil, gas, and geothermal properties	16d(2)		
	e Other adjustments & tax preference items (attach sch)	16e		
Foreign Taxes	17a Name of foreign country or U.S. possession ▶			Form 1116, Part I
	b Gross income from all sources	17b		
	c Gross income sourced at partner level	17c		
	d Foreign gross income sourced at partnership level:			
	(1) Passive	17d(1)		
	(2) Listed categories (attach schedule)	17d(2)		
	(3) General limitation	17d(3)		
	e Deductions allocated and apportioned at partner level:			
	(1) Interest expense	17e(1)		
	(2) Other	17e(2)		
	f Deductions allocated and apportioned at partnership level to foreign source income:			
	(1) Passive	17f(1)		
	(2) Listed categories (attach schedule)	17f(2)		
	(3) General limitation	17f(3)		
	g Total foreign taxes (check one): ▶ ☐ Paid ☐ Accrued	17g		Form 1116, Part II
	h Reduction in taxes available for credit (attach schedule)	17h		Form 1116, line 12
Other	18a Section 59(e)(2) expenditures: a Type ▶			See Partner's Instructions for Schedule K-1 (Form 1065).
	b Amount	18b		
	19 Tax-exempt interest income	19		Form 1040, line 8b
	20 Other tax-exempt income	20		See Partner's Instructions for Schedule K-1 (Form 1065).
	21 Nondeductible expenses	21		
	22 Distributions of money (cash and marketable securities)	22		
	23 Distributions of property other than money	23		
	24 Recapture of low-income housing credit:			
	a From Section 42(j)(5) partnerships	24a		Form 8611, line 8
	b Other than on line 24a	24b		

Supplemental Information

25 Supplemental information required to be reported separately to each partner (attach additional schedules if more space is needed):

LINE 10 - PORTFOLIO DEDUCTIONS:

	0.
	0.
PROFESSIONAL FEES	10.
TOTAL	10.

⑨

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05/12/2002 19:44 8167365785 BOBKOCH PAGE 01

Schedule D
(Form 1065)
Department of the Treasury
Internal Revenue Service

Capital Gains and Losses

► Attach to Form 1065.

OMB No. 1545-0099

2001

Name of Partnership: SMALL TOWN INVESTMENT CLUB
%ROBERT L. KOCH

Employer identification number: 43-1838546

Short-Term Capital Gains and Losses — Assets Held One Year or Less

(a) Description of property (e.g., 100 shares of 'Z' Co)	(b) Date acquired (month, day, year)	(c) Date sold (month, day, year)	(d) Sales price (see instructions)	(e) Cost or other basis (see instructions)	(f) Gain or (loss) ((d) minus (e))
1 LEVEL 3 COMMUNICATIONS	04/06/01	12/07/01	184.	353.	-169.

2 Short-term capital gain from installment sales from Form 6252, line 26 or 37	2	
3 Short-term capital gain (loss) from like-kind exchanges from Form 8824	3	
4 Partnership's share of net short-term capital gain (loss), including specially allocated short-term capital gains (losses), from other partnerships, estates, and trusts	4	
5 Net short-term capital gain or (loss). Combine lines 1 through 4 in column (f). Enter here and on Form 1065, Schedule K, line 4d or 7	5	-169.

Long-Term Capital Gains and Losses — Assets Held More Than One Year

(a) Description of property (e.g., 100 shares of 'Z' Co)	(b) Date acquired (month, day, year)	(c) Date sold (month, day, year)	(d) Sales price (see instructions)	(e) Cost or other basis (see instructions)	(f) Gain or (loss) ((d) minus (e))	(g) 28% rate gain or (loss) * (see instructions)
6 ADC TELECOMMUNICATONS	09/11/00	12/07/01	548.	3,858.	-3,310.	
LEVEL 3 COMMUNICATIONS	04/07/00	12/07/01	448.	4,399.	-3,951.	
WORLDCOM INC	12/07/99	12/07/01	463.	1,599.	-1,136.	
STILWELL FINANCIAL INC	09/11/00	12/07/01	2,616.	5,035.	-2,419.	

7 Long-term capital gain from installment sales from Form 6252, line 26 or 37	7		
8 Long-term capital gain (loss) from like-kind exchanges from Form 8824	8		
9 Partnership's share of net long-term capital gain (loss), including specially allocated long-term capital gains (losses), from other partnerships, estates, and trusts	9		
10 Capital gain distributions	10	2.	
11 Combine lines 6 through 10 in column (g). Enter here and on Form 1065, Schedule K, line 4e(2) or 7	11		
12 Net long-term capital gain or (loss). Combine lines 6 through 10 in column (f). Enter here and on Form 1065, Schedule K, line 4e(1) or 7	12	-10,814.	

*28% rate gain or (loss) includes all 'collectibles gains and losses' (as defined in the instructions).

BAA For Paperwork Reduction Act Notice, see Instructions for Form 1065. Schedule D (Form 1065) 2001

PTPA0251 01/03/02

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Name Samuel B. "Sam" Graves, Jr. **Page** 13 of 15

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Farmers State Bank, Tarkio, MO	Mortgage on Farm 1 (115 Acres)		X								
	Farmers State Bank, Tarkio, MO	Mortgage on Farm 2 (240 Acres)				X						
	Farmers State Bank	Secured Tractor Loan	X									

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None	None	None

Use additional sheets if more space is required.

Name Samuel B. "Sam" Graves, Jr. **Page** 14 of 15

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
None			None				

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Name Samuel B. "Sam" Graves, Jr. Page 15 of 15

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Owner	Sam Graves Farms
Member	Small Town Investment Club (See Attachment)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
2000	State of Missouri, Deferred Compensation Plan	Optional deferred compensation plan whereby State of Missouri matches individual contribution of $25 or less (Investment in American Century Ultra Mutual Fund)
2000	State of Missouri Employee Retirement System	State of Missouri Employee Retirement Program as a member of the Missouri General Assembly

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 7

For use by Members, officers, and employees

HAND DELIVERED

(7)

GISLATIVE RESOURCE CENTER
2002 MAY 15 AM 11:01
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

(Office Use Only)

Raymond Eugene (Gene) Green
(Full Name)

P O Box 16128 Houston, TX 77222-6128
(Mailing Address)

202-225-1688
Daytime Telephone:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

Filer Status ☑ Member of the U.S. House of Representatives State: TX District: 29 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? Yes ☑ No ☐
If yes, complete and attach Schedule VII.

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? Yes ☑ No ☐
If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☑ No ☐
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-- Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☑

Exemptions-- Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification: I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.

Signature of Reporting Individual: Raymond Eugene (Gene) Green

Date (Month, Day, Year): 5/13/2002

SCHEDULE I - EARNED INCOME

Name Raymond Eugene (Gene) Green

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Employees Retirement System	Legislative Pension	$39,645
Aldine Independent School District	Spouse Salary	N/A
State of Texas	Deferred Comp	$1,535

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Raymond Eugene (Gene) Green

Page 3 of 7

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	First American Bank (Deferred Comp)	$1,001 - $15,000	Other: INTEREST & INCOME	$1,001 - $2,500	
JT	Bank of America	$50,001 - $100,000	INTEREST	$1,001 - $2,500	
JT	Chase Bank (IRA's)	$50,001 - $100,000	INTEREST	NONE	
JT	Aldine Teachers' Credit Union	$1,001 - $15,000	INTEREST	$201 - $1,000	
JT	Prudential Financial (formerly Prudential Insurance)	$50,001 - $100,000	Other: INTEREST & SPOUSE DEFERRED COMP	$5,001 - $15,000	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Raymond Eugene (Gene) Green

Page 4 of 7

JT	Planters Bank (IRA's)	$50,001 - $100,000	INTEREST	NONE	
JT	20.049 Acres Rural Land, Montgomery, X	$15,001 - $50,000	Other: None	NONE	
JT	Prudential Financial (Mutual Co. Converted to Stock Company)	$1,001 - $15,000	Other: None	NONE	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Raymond Eugene (Gene) Green

Page 5 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Commonwealth Fund-JFK School of Govt	Jan. 11-14	Hou-Aventura, FL-Hou	Y	Y	Y	N/A
Aspen Institute	Feb. 16-19	Hou-St. Petersburg, FL-Hou	Y	Y	Y	N/A
Aspen Institute	Mar. 9-11	DC-White Sulphur Spring, VA-DC	Y	Y	Y	N/A
American Railroad Assn.	July 6-9	Hou-Jackson Hole, WY-Hou	Y	Y	Y	N/A
National Chamber Foundation	July 12-13	DC-Leesburg, VA-DC	Y	Y	N	N/A
Arctic Power/State of Alaska	Aug. 6-10	Hou-Anchorage, AK-Hou	Y	Y	N	N/A
IMPAC 2000	Dec. 14-16	Hou-Phoenix, AZ-Hou	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name Raymond Eugene (Gene) Green

Page 6 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Major	Texas State Guard (Uncompensated)

SCHEDULE IX - AGREEMENTS

Name Raymond Eugene (Gene) Green	Page 7 of 7

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
5/90	International Typographical Union	Pension Upon Retirement

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (ID)

LEGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 3: 12
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

Mark Andrew Green
(Full Name)

4369 Touchstone Drive, Oneida, WI 54155
(Mailing Address)

920-497-5909
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives State: WI District: 8	☐ Officer or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/12/02

Name Mark Andrew Green | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Mark Andrew Green | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	—			

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Mark Andrew Green

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	LMG Property Management, a Wisconsin general partnership holding title to 3 rental properties. Green holds 1/3 interest.																															
	Properties:																															
	1825-27 Frank St, Green Bay					X									X	X							X									
	1790 7th St., Green Bay					X									X	X							X									
	408-410 Steven St, Green Bay					X									X	X							X									
	Scudder Investments: Managed Municipal Bonds Fund				X											X							X									

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Mark Andrew Green

Page 5 of 7

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Flex Funds Money Mkt Fund					X								X										X								
	Scudder Invest. Total Return Fund (IRA)			X										X		X						X										
	Thrift Savings Plan				X																											
	American Funds Group																															
	Europacific Growth Fund				X									X		X							X									
	Growth Fund of America					X								X		X						X										
	Washington Mutual Fund				X									X		X	X							X								
	Putnam Inv. Variable Annuity				X																											
	American Legacy Annuity				X												X								X							
	Mass. Investors Growth Stock (IRA)			X										X		X					X											
	Gannet Stock			X										X		X						X										
	Putnam Investor Fund		X											X		X					X											
	Wis. Retirement System				X		(last statement received for year 1998)																									
	Putnam Voyager Fund		X											X		X					X											
	Godfrey & Kahn, S.C. 401(K)																															
	administered by Robert W Baird Inc				X									X		X	X					X										
	Wisconsin Deferred Comp Program																															
	Vanguard Institutional Index				X									X		X																
	Fidelity Contra Fund				X									X		X																
	Janus Fund				X									X		X																
	Coca Cola Stock		X																				X									

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SCHEDULE IV — TRANSACTIONS

Name Mark Andrew Green

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	$1,001– $15,000	$15,001– $50,000	$50,001– $100,000	$100,001– $250,000	$250,001– $500,000	$500,001– $1,000,000	$1,000,001– $5,000,000	$5,000,001– $25,000,000	$25,000,001– $50,000,000	Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	Coca Cola Common Stock	X			12-21-01	Less than $1,000									

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Name Mark Andrew Green

Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Associated Bank Green Bay	Mortgage on 3 rental properties for LMG Property Management				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
—		

Use additional sheets if more space is required.

Name Mark Andrew Green

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Academy for Educational Development, Oxfam, Save the Children		Jan. 21, 2001 to Jan 28, 2008	Wash., D.C. to Bamako, Mali and Accra, Ghana to Wash., DC	Y	Y	N	N

This page may be copied if more space is required.

Name Mark Andrew Green | Page 7 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	LMG Property Management, a Wisconsin General Partnership

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO, 2002 77-791 (mac)

Use additional sheets if more space is required.

Addendum

Note: Kemper Funds merged in 2001 with the firm of Scudder Investments. This was not an elective transaction, i.e., one directed by Green. Listings in Schedule III reflect new name for funds held by Green.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

⑨ LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 01
MC
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

James Charles Greenwood
(Full Name)

2436 Rayburn House Office Building
Washington DC 20515
(Mailing Address)

Daytime Telephone: 202/225-4276

Filer Status	☒ Member of the U.S. House of Representatives	State: PA District: 08	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	**Yes** ☒ **No** ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	**Yes** ☒ **No** ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	**Yes** ☐ **No** ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	**Yes** ☒ **No** ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	**Yes** ☒ **No** ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	**Yes** ☒ **No** ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	**Yes** ☒ **No** ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	**Yes** ☒ **No** ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	**Yes** ☐ **No** ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	**Yes** ☐ **No** ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	**Yes** ☐ **No** ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	James Greenwood	5/15/02

Name James C. Greenwood **Page** 2 **of** 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keeno State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	County of Bucks, PA	spouse salary	NA
	Commonwealth of PA	pension for House/Senate service	$5673.

For payments to charity in lieu of honoraria, use Schedule II.

Name James C. Greenwood

Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name James C. Greenwood

Page 4 **of** 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	IRA Bonds - Refco strips			X												X					X											
	IRA Bonds - CATS			X												X					X											
	IRA Mutual Fund Evergreen Global Leaders			X										X								X										
	IRA Mutual Fund Evergreen Equity Index			X										X								X										
	IRA Mutual Fund Evergreen Capital Growth Fund			X										X								X										
	IRA Mutual Fund Evergreen Growth Fund			X										X								X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name James C. Greenwood **Page** 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	IRA Mutual Fund-Money Market			X										X								X										
	IRA Jade Financial	X															X									X						

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Name James C. Greenwood | Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	IRA JADE Financial		X		7-13-01		X								

This page may be copied if more space is required.

Name James C. Greenwood **Page** 7 **of** 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
GLOBE USA (Kathryn Greenwood)	Taxicab, airfare, lodging, food while in Paris	$877.42

Use additional sheets if more space is required.

Name James C. Greenwood

Page 8 **of** 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
The Aspen Institute		Jan. 12-17	Phila.,PA-Grand Cayman Islands - Phila., PA	Y	Y	Y	N
Global Legislators Organization for a Balanced Environment(GLOBE USA)		Feb. 5-6	Nairobi-Kiunga-Lamu-Shamboni-Nairobi	Y	Y	Y	N
Pharmaceutical Care Management		March 30-April 1	Allentown, PA-Orlando, FL-Allentown, PA	Y	Y	Y	N
Population Action International		April 6-14	Phila., PA— Paris -Rabat - Casablanca - NY	Y	Y	Y	N
GLOBE USA		June 22-23	Wash., D.C. - Tarrytown, NY Wash., D.C.	Y	Y	N	N
GLOBE USA		July 13-15	Wash., D.C. - Queenstown, MD - BWI	Y	Y	N	N
Ripon Educational Fund		Aug. 10-18	Newark, NJ-Dulles-Manchester UK, Edinburgh, Scotland - Manchester, UK - Dulles - Newark, NJ	Y	Y	Y	N
Planned Parenthood of Santa Barbara Ventura and San Luis Obispo Counties		NOV. 17-19	BWI - LA - Santa Barbara,CA - LA - BWI	Y	Y	Y	N
GLOBE USA		Nov. 30-Dec. 3	Dulles - Paris - Dulles	N	Y	Y (see schedule VI)	N

This page may be copied if more space is required.

Name James C. Greenwood	**Page** 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director (unpaid)	Bucks County (PA) Council on Alcoholism and Drug Dependence
Director (unpaid)	The Woods School
President (unpaid)	Global Legislators Organization for a Balanced Environment (GLOBE International)
Member (unpaid)	YWCA Bucks County Advisory Council (since 1998 - should have been reported in prior financial disclosure statements)
Member (unpaid)	Bucks County Boy Scout Council Advisory Board (since 1994 - should have been reported in prior financial disclosure statements)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
Jan. 1987	PA State Senate	continuing participation in health benefit plan as result of PA State Senate service

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

HAND DELIVERED

(6)

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 AM 10: 50

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Felix J. Grucci JR
(Full Name)

(Mailing Address)

Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives	State: N.Y. District: 01	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Felix J. Grucci Jr.	5/14/02

Name Felix J. Grucci Jr

Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source		Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
FIREWORKS BY GRUCCI INC.		SALARY	21,000
BROOKHAVEN MEMORIAL HOSPITAL MEDICAL Ct.		SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Felix J. Grucci JR

Page 1 of 2

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

		BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
			A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,		SP Mega Corp. Stock					X								X										X								P
DC,	Examples:	Simon & Schuster		Indefinite																	Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									x										X						
SP		CHASE BANK C.D				X											X									X							
SP		H.S.B.C. BANK Savings				X											X							X									
DP		H.S.B.C. Bank Savings		X													X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name Felix J. Grucci Jr

Page 2 of 2

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	CHASE BANK C.D			X												X								X								
DC	H.S.B.C. SAVINGS ACC.			X												X						X										
DC	HSBC - BANK.				X											X	X									X						
JT	HSBC - SAVINGS			X												X							X									
DC	Aim Family of Funds			X												X							X									
JT	55 Station Road - House						X								X											X						
DC	Aim Family of Funds			X												X							X									
	FIREWORKS BY GRUCCI INC.							X								—		N A		—			—		N/A			—				
	PYROTECHNIQUE BY GRUCCI INC.						X									—		N A		—			—		N/A			—				
	FIREWORKS BY GRUCCI PROFIT (401) SAVINGS PLAN						X									—		N/A		—			—		N/A			—				
	STARLIGHT PROPERTY INC									X						—		N/A		—			—		N/A			—				

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Name Felix J. Grecci JR

Page 1 of 1

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	N/A														

This page may be copied if more space is required.

Name	**Page ___ of ___**

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	N/A											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

Name	**Page** ___ **of** ___

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
N/A							

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Name FELIX J. GRUCCI JR	Page 1 of 1

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
TRUSTEE	FIREWORKS BY GRUCCI INC. 401 PROFIT SAVINGS PAN
TRUSTEE	CONCETTA MARIE GRUCCI LIVING TRUST.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

GPO: 2002 77-791 (msc)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED (5)
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:42
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Luis V. Gutierrez
(Full Name)
1745 N. Hermitage
Chicago, IL. 60622
(Mailing Address)
(202) 225-8203
Daytime Telephone

Filer Status ☒ Member of the U.S. House of Representatives State: Illinois District: 4th ☐ Officer or Employee Employing Office:

Report Type ☒ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/13/02

Name Luis V. Gutierrez	Page 1 of 1

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Second Federal Savings & Loan Association	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Luis V. Gutierrez	**Page** 1 of 1

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out), loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Doral Finanical Corporation, San Juan, P.R.	Mortgage on 615 Calle VistaMar P.R.				X						

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Luis V. Gutierrez **Page** 1 **of** 1

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	LaSalle Bank Accounts					X										X									X							P
JT	MidAmerica Bank Accounts			X												X							X									P
JT	Banco Popular CD'S						X									X										X						Redeemed
JT	2nd Federal Savings & Loan (CD'S)						X																			X						P
JT	615 Calle Vistamar P.R.						X								X											X						

For additional assets and unearned income, use next page.

Name Luis V. Gutierrez

Page 1 of 1

SCHEDULE VII—TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Centro De Ayuda a la Comunidad Centro Americana		Feb. 16-Feb. 17	Chicago-Dallas Tx.-Chicago	Y	Y	N	N
U.S. Mexico Chamber of Commerce		Feb. 18-Feb. 21	Chicago-Mexico City-Chicago	Y	Y	Y	N
Service Employees International Union (SEIU)		April 26-April 27	Washington DC-Los Angeles, California, San Juan, P.R.	Y	Y	N	N
Chinese National Association of Industry & Commerce		May 27-June 2	Chicago-Taipei, Taiwan-Chicago	Y	Y	Y	N
University of Puerto Rico		August 27-August 31	Chicago-San Juan, P.R.-Chicago	Y	Y	N	N
National Council La Raza		Dec. 26-Dec. 31	Chicago-San Antonio, Tx.-Chicago	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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⑥ MC

Rep. Gil Gutknecht (Full Name)
425 Cannon Office Bldg
Washington, D.C. 20515 (Mailing Address)
202-225-2472 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: District:	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Gil Gutknecht	05/01/02

Name Gil Gutknecht | Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Aldrich Nursery School	spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Gil Gutknecht

Page 3 of 6

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income), any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	B: A None	B: B $1 – $1,000	B: C $1,001 – $15,000	B: D $15,001 – $50,000	B: E $50,001 – $100,000	B: F $100,001 – $250,000	B: G $250,001 – $500,000	B: H $500,001 – $1,000,000	B: I $1,000,001 – $5,000,000	B: J $5,000,001 – $25,000,000	B: K $25,000,001 – $50,000,000	B: L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	D: I None	D: II $1 – $200	D: III $201 – $1,000	D: IV $1,001 – $2,500	D: V $2,501 – $5,000	D: VI $5,001 – $15,000	D: VII $15,001 – $50,000	D: VIII $50,001 – $100,000	D: IX $100,001 – $1,000,000	D: X $1,000,001 – $5,000,000	D: XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster	Indefinite																		Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
JT	AT+T stock			X										X								X										
JT	AT+T wireless (spin-off)			X													X				X											
JT	Lucent Tech.			X										X								X										
JT	Fastenal			X										X								X										
JT	Nasdaq 100			X													X				X											P
JT	Affinity Plus cred. union				X											X									X							

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Gil Gutknecht

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
JT	Wells Fargo Bank				X											X							X									
	Fastenal (IRA)			X										X								X										
	Daimler Chrysler (IRA)			X										X								X										
	Templeton Growth (IRA)				X															reinvested			NA									
	Oppen. Main St. (IRA)			X																reinvested			NA									
	Morgan Stanley money mkt. (IRA)			X												X						X										
SP	Berger 100 (IRA)			X																reinvested				NA								
SP	Templeton Growth (IRA)			X																reinvested				NA								
	MN State Retire Sys. def comp - Gr. West Life + Ann.			X													X				X											
	MN State Retire pension		No Specific Value																				NA									
SP	TIAA - retirement			X													X				X											
	garage-rent (305 C St. NE Wash. D.C. 20002)			X											X									X								
JT	Showcase Software			X													X				X											S

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SCHEDULE IV — TRANSACTIONS

Name Gil Gutknecht

Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
JT	Showcase Software		X		1-17-01	X									
JT	Nasdaq 100	X			1-17-01	X									

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Name Gil Gutknecht

Page 6 of 6

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totaling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
U.S. Assn. of Former Members of Congress		Apr. 7-13	Wash. D.C.-Berlin-Wash. DC	Y	Y	Y	N
2001 Arctic Power ANWR Tour		May 26 - June 2	Mpls. MN - Anchorage - Mpls.	Y	Y	Y	2 days

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GIL GUTKNECHT
1ST DISTRICT, MINNESOTA

Congreſs of the United States
House of Representatives
Washington, DC 20515–2301

MC

May 22, 2002

Mr. Jeff Trandahl
Office of the Clerk
H154 Capitol
Washington, D.C. 20515

Dear Mr. Trandahl,

Please amend my Financial Disclosure Statement for Calendar Year 2001 as follows:

Add to Schedule III
Block A: JT, Bell South stock
Block B: 50,001 - 100,000
Block C: Dividends
Block D: 1,001 - 2,500
Block E: not applicable

Thank you.

Sincerely,

Gil Gutknecht

Gil Gutknecht
Member of Congress

WASHINGTON OFFICE:
425 CANNON HOUSE OFFICE BUILDING
WASHINGTON, DC 20515–2301
(202) 225–2472
(202) 225–3248 FAX
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www.gil.house.gov

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

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(Office Use Only)

(9)

HC

Ralph M. Hall
(Full Name)

2221 Rayburn House Office Building
Washington, DC
(Mailing Address)

(202)225-6673
(Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives	State: Texas District: 04	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A **$200 penalty** shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ralph M. Hall	5-7-02

Name Ralph M. Hall

Page 2 **of** 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Employee Retirement System of Texas	Legislative Pension	$51,991

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND “UNEARNED” INCOME

Name Ralph M. Hall **Page** 3 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster	Indefinite																		Royalties									X			
Examples:	1st Bank of Paducah, KY accounts						X									X										X						
	Securities:																															
	Crowley Holding Co. Crowley, Tx							X						X													X					
	Lakeside Bancshares, Inc. Rockwall, Tx								X					X													X					
	Lakeside National Bank Rockwall, Tx.				X									X									X									
	North & East Trading Co. Rockwall, Tx							X													X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Ralph M. Hall

Page 4 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Real Estate:																															
	152 A. Hunt Co., Tx						X								X									X								
	4.5 A. Rockwall, Tx						X														X											
	DC Townhouse						X														X											
	22 A., Kaufman Co.,Tx				X																X											
	H-T Development Partner							X							X												X					
	H-T Development, Inc.			X																	X											
	Oil Interest:																															
	Caddo Parish, La.			X																Royalty				X								

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name Ralph M. Hall

Page 5 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		x								
	Lakeside Bancshares stock	X			04-11-01	X									
	Lakeside Bancshares stock	X			08-27-01	X									
	H-T Development, LP	X			01-15-01	X									
	H-T Development, Inc.	X			01-15-01	X									

This page may be copied if more space is required.

Name Ralph M. Hall

Page 6 **of** 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Lakeside National Bank, Rockwall,Tx	Business Loans	X									
	American Bank, Sherman, Tx	Bank Stock			X							
	American Bank, Sherman, Tx	4.5 Acres, Rockwall, Tx				X						
	Flagstar Bank, Irving, Ca	DC Townhouse			X							
	North & East Trading Company	Business Loans		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

SCHEDULE V — LIABILITIES

Name Ralph M. Hall

Page 7 of 9

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	Debt Paid During Year:											
	E.K. Slaughter, Rockwall, Tx	Crowley Holding Co.		X								
	Lloyd Wilcox Estate Rockwall, Tx	Lakeside Bancshares	X									
	Lakeside National Bank, Rockwall, Tx	Business Loans			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Ralph M. Hall	Page 8 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Chairman & Director (unpaid)	Crowley Holding Company, Crowley, Tx
Chairman & Director (unpaid)	Bank of Crowley, Crowley, Tx
Chairman & Director (unpaid)	Lakeside National Bank, Rockwall, Tx
President & Director (unpaid)	Lakeside Bancshares, Inc., Rockwall, Tx
Chairman & President (unpaid)	North & East Trading Co., Rockwall, Tx
Chairman & Director (unpaid)	Linrock, Inc., Rockwall, Tx

(continued)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

Use additional sheets if more space is required.

Name Ralph M. Hall	**Page** 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	H-T Development Limited Partnership
Director & President	H-T Development, Inc.

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

HAND DELIVERED

(10)

LEGISLATIVE RESOURCE CENTER

2002 MAY 23 PM 5: 12 MC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 10

For use by Members, officers, and employees

Tony P. Hall
(Full Name)

2580 North 23rd Road Arlington, VA 22207
(Mailing Address)

(202) 225-6465
(Daytime Telephone)

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representative	State: OH District 3	☐ Officer Or Employee Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☑ No ☐
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Tony P. Hall	5-22-02

SCHEDULE I - EARNED INCOME

Name Tony P. Hall

Page 2 of 10

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Fellowship Foundation, Inc.	Spouse Salary	N/A

SCHEDULE II - PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

Name Tony P. Hall

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
American School Food Service Association	Speech	March 5, 2001	$2,000

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Tony P. Hall

Page 4 of 10

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Wright-Pattman Congressional Federal Credit Union Account	$1,001 - $15,000	INTEREST	$1 - $200	
	Smith Barn Shear Fund (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	P
	Aim Invest. Funds Tel. (IRA)	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	
	Chemical Bank Note (IRA)	$1,001 - $15,000	INTEREST	$201 - $1,000	
	Prudential Moneymart IRA Retirement Accounts	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
DC	Wendy's, Mattel, TechicloneIntl. Stocks	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Tony P. Hall

SP	Aim Invest. Fund Tel (IRA)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
SP	Smith Barn Shear Fund (IRA)	$1,001 - $15,000	DIVIDENDS	$1,001 - $2,500	P
JT	American Electric Power stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	First Union Corp stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	IBM stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Royal Dutch Petroleum stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Prudential Gov. US Tres Money Mart	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	TriContinental Corp Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name Tony P. Hall

Page 6 of 10

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	TriContinental Corp Stock	P	03-13-01 and various dates	$1,001 - $15,000

SCHEDULE VI - GIFTS

Name Tony P. Hall

Page 7 of 10

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year. Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold. Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Mr. Rajaae Muasher, Jordan	Watch	About $1,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Tony P. Hall

Page 8 of 10

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
San Diego Community Prayer Breakfast Foundation	Apr. 27-30	Washington, D.C.-San Digo, California	N	Y	Y	N/A
Aspen Institute	Jan. 12-17	Washington, D.C.-Grand Cayman Island	Y	Y	Y	N/A
Aspen Institute	March 9-11	Washington, D.C.-White Sulphur Springs, W.V.	Y	Y	Y	N/A
International Foundation	April 10-22	Washington, D.C.-Beirut, Lebanon	N	N	Y	5 Days
Westchester County Leadership Prayer Breakfast Committee	May 20-21	Washington, D.C.--White Plains, N.Y.	N	Y	N	N/A
Bermuda Parliamentary Prayer Breakfast Committee	Nov. 15-18	Washington, D.C.-Bermuda	Y	Y	N	N/A

SCHEDULE VIII - POSITIONS

Name Tony P. Hall

Page 9 of 10

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Chairman	Congressional Hunger Center
Trustee	Holiday Aid, Inc.
Member, Board of Managers	The Air Force Museum Foundation, Inc.
Member, Board of Advisors	Mercy Corps
Member, Board of Advisors	International Justice Mission
Member, Board of Advisors	National Bureau of Asian Research

FOOTNOTES

Name Tony P. Hall

Page 10 of 10

Number	Section / Schedule	Footnote	This note refers to the following item
1	Schedule III	The amount purchased did not meet the $1000 threshold to be listed in Schedule IV, Transactions	Smith Barn Shear Fund

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
(3)
EGISLATIVE RESOURCE CENTER
2002 MAY 14 PM 3:30
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
HC
(Office Use Only)

JAMES V. HANSEN
(Full Name)

242 Cannon HOB, Washington, D. C. 20515
(Mailing Address)

202-225-0453
(Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives	State: District:	☐ Officer or Employee	Employing Office:
Report Type	[✓ ☒ Annual (May 15)]	☐ Amendment	☐ Termination	Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/14/02

Name JAMES V. HANSEN

Page 2 **of** 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State Farm Insurance Company	Pension	$4,688.04
	State of Utah	Legislative Pension	$2,718.00

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name JAMES V. HANSEN

Page 3 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples: SP Mega Corp. Stock					X								X										X								P
DC,	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	Wright-Pat Credit Union				X											X							X									
JT	Mountain Am. Credit Union			X												X						X										
JT	America First Credit Union			X												X							X									
JT	United States Savings Bonds				X											X					X											
JT	Davis Schools Credit Union			X												X							X									
JT	Office Building at 60 So.						X								X											X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JAMES V. HANSEN

Page 4 of 5

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
JT	Building Lots (3), Woodland						X														X											
	Prings, Plat A																															
	Farmington, Utah																															

This page may be copied if more space is required.

Name JAMES V. HANSEN | Page 5 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
JT	Zions First National Bank	Morgage on rental office at 60 So. 200 W. Farmington, UT		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NONE		

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

(48)

HAND DELIVERED
LEGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 12: 10
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
MC
(Office Use Only)

JANE HARMAN
(Full Name)

811 NORTH CATALINA AVENUE #1302, REDONDO BEACH CA 90277
(Mailing Address)

Daytime Telephone: 310-372-1600

Filer Status: ☒ Member of the U.S. House of Representatives — State: CA — District: 36th; ☐ Officer or Employee — Employing Office: ______

Report Type: ☒ Annual (May 15); ☐ Amendment; ☐ Termination — Termination Date: ______

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	✓ Jane Harman	5/15/02

Name JANE HARMAN

Page 2 of 13

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$8,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	HARMAN INTERNATIONAL INDUSTRIES INC	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name JANE HARMAN

Page 3 of 13

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT			Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	Examples:	SP	Mega Corp. Stock					X								X										X								P
DC,			Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
			BANK ACCOUNTS:																															
JT			City National Bank Beverly Hills CA						X									X							X									
JT			Citibank New York NY				X											X						X										
			EQUITIES:																															
SP			Harman International Industries-Common											X		X														X				E
SP			Harman International Industries-Options											X								Salary	X											S,E

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JANE HARMAN

Page 4 of 3

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	P, S, E
JT	Medical Specialities Int'l				X																X											
	Inc-Common																															
	Putnam International					X															X											
	Growth Class A Fund																															
	Fidelity CA Municipal			X										X									X									
	Money Market Fund																															
SP	Worklinks-Common	X																			X											Worthless
DC	Selected American Shares							X						X			X								X							
	Mutual Fund																															
DC	Fidelity Investment MMA			X												X						X										
SP	Sidney Harman 1987 Rev Tr					SEE SCHEDULE A ATTACHED																										P,S
	Held Custody Bank of NY7																															
SP	JP Morgan - CashMgt Fnd		X													X							X									
SP	Sidney Harman Charitable					SEE SCHEDULE B ATTACHED																										P,S
	Remainder Trust																															
JT	Jane Harman 15Year Grantor					SEE SCHEDULE C ATTACHED																										P,S
	Income Trust																															
JT	Jane Harman 25Year Grantor					SEE SCHEDULE D ATTACHED																										P,S
	Income Trust																															
	The Lakes Descendants Trust								X					X		X											X					
	(See Attachment 3)																															
DC	The Lakes Descendants Trusts (See Attachment 3)								X					X		X											X					

This page may be copied if more space is required.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name JANE HARMAN

Page 5 of 13

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	REAL ESTATE LIMITED PARTNERSHIPS:																															
SP	JBG Investment Fund I LP (Holding var interests in comm'l RE See Attchmt 7)									X					X	X					X											P
SP	Peabody International RE Ptnrs LLC (Holding var interests in comm'l RE and companies See Attchmt 8)							X							X	X					X											P
	INVESTMENT LIMITED PARTNERSHIPS:																															
SP	Beta Hedge LP (Holding var positions Lg Cap US Equities)									X											X											
SP	Greenbriar Equity Funds LP (Invests in pvt companies related to the transportation industry)	X																			X											P
SP	Omega Alpha Auto LLC (Owns auto dealerships in White Plains NY)	X																			X											S
SP	Patricof Private Investment Club LP (See Attchmt 1)					X								X		X	X										X					

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JANE HARMAN

Page 6 of 13

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C Type of Income DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D Amount of Income I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E Transaction P, S, E
SP	Patricof Private Investmen Club II LP (See Attchmt 2)						X														X											
SP	Pilgrim America High Income Investment Ltd (See Attchmt 6)								X							X										X						
SP	Premier Pacific Vineyards LP (Owns vineyards and wine making facilities in N California and Oregon)								X						X	X					X											
SP	Rhone Partners LP (See Attchmt 4)									X						X	X												X			P
SP	SelectInvest LP (FKA UBP Rhone Stable Return Fund LP - See Attchmt 5)										X			X		X	X												X			
SP	Taconic Capital Partners LP (Holds var investments and hedged positions)									X				X		X											X					
SP	TWP CEO Founders' Circle (QP) LP (Holds var investments in growth companies)								X												X											P
SP	Investment in Film-Dollhouse Productions LLC					X															X											

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JANE HARMAN

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SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Surviving Selma Company LL (Investment in theatrical stage production)			X																	X											P
SP	Harman International Ind Inc Retirement Plan (Not self directed) held at Putnam Investments							X													X											

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SCHEDULE IV — TRANSACTIONS

Name JANE HARMAN

Page 8 of 13

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
SP	Sidney Harman 1987 Rev Trust Held in Custody Bank of NY			SEE SCHEDULE E ATTACHED											
SP	Sidney Harman Charitable Remainder Trust			SEE SCHEDULE F ATTACHED											
JT	Jane Harman 15 Year Grantor Income Trust			SEE SCHEDULE G ATTACHED											
JT	Jane Harman 25 Year Grantor Income Trust			SEE SCHEDULE H ATTACHED											
SP	Exercise Harman International Stock Options		X	X	11-12-01								X		
SP	Greebriar Equity Funds LP	X			1-04-01		X								
SP	Omega Alpha Auto LLC		X		10-31-01					X					
SP	JBG Investment Fund I LP	X			11-13-01					X					
SP	Peabody International RE Partners LLC	X			2-01-01			X							
SP	Peabody International RE Partners LLC	X			2-23-01			X							
SP	Peabody International RE Partners LLC	X			6-19-01			X							
SP	Peabody International RE Partners LLC	X			8-20-01		X								
SP	Peabody International RE Partners LLC	X			10-16-01			X							
SP	Rhone Partners LP	X			1-05-01				X						
SP	Rhone Partners LP	X			3-29-01				X						
SP	Rhone Partners LP	X			6-28-01		X								

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Name JANE HARMAN

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SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	x			10-12-01		x								
SP	Rhone Partners LP	X			9-26-01		X								
SP	Surviving Selma Company LLC	X			4-04-01	X									
SP	TWP CEO Founders' Circle (CQ) LP	X			6-18-01				X						

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Name JANE HARMAN **Page** 10 **of** 13

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
SP	JP Morgan New York NY	Collateralized by US Treasuries								X		

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name JANE HARMAN	**Page** 11 **of** 13

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
The Progress & Freedom Foundation		Aug 19-20, 2001	Wash DC - Aspen CO-' Wash DC	N	N	N	N
Blue Dog Coalition		Nov 16-18, 2001	Napa, CA	Y	Y	Y	N

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Name JANE HARMAN	Page 12 of 13

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Trustee	Jane Harman 15 Year Grantor Income Trust
Trustee	Jane Harman 25 Year Grantor Income Trust
Trustee	The Lakes Descendants Trusts
Trustee	The Lakes Discretionary Grandchildrens Trust
Trustee	The Lakes Descendants Non-Exempt Trusts
Trustee	The Lakes Discretionary Grandchildrens Non-Exempt Trust

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

Name JANE HARMAN

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SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board Member	Advisory Board UCLA School of Public Policy and Social Research
Trustee	Smith College
Member	Advisory Committee to Dean of Harvard Law School
Vice-President	The Harman Family Foundation

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-701 (mac)

Use additional sheets if more space is required.

JANE HARMAN
Financial Disclosure Statement

Disclosure Regarding Limited Partnership Interests and Use of Alternative Valuation Methods:

Two basic methods have been used to determine the value of each partnership interest. These methods differ as a result of the information available at the date of filing.

Method 1

Where market value statements were available, the value was determined by applying the ownership percentage of the reporting individual to the total value of the capital account reserved for limited partners. Method 1 was implemented with regard to Patricof Private Investment Club LP, Patricof Private Investment Club II LP, Rhone Partners LP, Selectinvest LP, Pilgrim America High Income, Women's Growth Capital Fund I LLLP and Lakes Investment LLC.

Method 2

In some cases market value financial statements were not available. Accordingly, the ending capital balance for the reporting individual was used to value the partnership interest. This method was applied with regard to Beta Hedge LP, Greenbriar Equity Funds LP, JBG Investment Fund I LP, Peabody International Real Estate Partners LLC, Premier Pacific Vineyards LP, Surviving Selma Company LLC, Taconic Capital Partners LP and TWP CEO Founders Circle Fund.

JANE HARMAN
Financial Disclosure Statement

Attachment 1 - Patricof Private Investment Club, LP Detail of Investment Positions

Description	Category of Market Value
Public Companies:	
Axeda Systems (fka Ravisent)	$1,001 - $15,000
Genzyme Biosurgery	$1 - $1,000
Private Companies:	
Greenbacks Inc	$1,001 - $15,000
Hearthstone Assisted Living Inc	$1,001 - $15,000
HR Logic Inc	$1 - $1,000
Icarian Inc	$1,001 - $15,000
Instrumentation Metrics Inc	$1,001 - $15,000
Mojave Therapeutics Inc	$1,001 - $15,000
Peregrine Semiconductor Corporation	$1,001 - $15,000
Plansoft Corporation	$1 - $1,000
Ricon	$1,001 - $15,000
Tessera Inc	$1,001 - $15,000
Transora Inc	$1 - $1,000
US Laboratories	$1,001 - $15,000

JANE HARMAN
Financial Disclosure Statement

Attachment 2 - Patricof Private Investment Club II, LP Detail of Investment Positions

Description	Category of Market Value
Public Companies:	
Axeda Systems	$1,001 - $15,000
divine Inc	$1 - $1,000
RITA Medical	$1,001 - $15,000
Versicor Inc	$15,001 - $50,000
Private Companies:	
bigchalk.com Inc	$1,001 - $15,000
BlueArc Corporation	$1,001 - $15,000
CML Technologies, Inc	$1,001 - $15,000
CopperCom	$1,001 - $15,000
Freedom Scientific Inc	$1,001 - $15,000
HR Logic Inc	$1,001 - $15,000
InfoLibria Inc	$1,001 - $15,000
Intellisec Inc	$1 - $1,000
IntraLinks Inc	$1,001 - $15,000
Linuxcare	$1 - $1,000
MeshNetworks	$1,001 - $15,000
MILCOM Technologies Inc	$1,001 - $15,000
Oblix Inc	$1,001 - $15,000
Optimize Inc	$1,001 - $15,000
Opus Medical Inc	$1 - $1,000
Paladin Holdings Inc	$1 - $1,000
Performance Inc	$1,001 - $15,000
Prometheus	$1,001 - $15,000
Pryor Resources Inc	$1,001 - $15,000
Verbind Inc	$1 - $1,000
Visalign LLC	$1 - $1,000
Woodside Biomedical	$1,001 - $15,000

JANE HARMAN
Financial Disclosure Statement

Attachment 3 – Lakes Descendants Trusts Detail of Investment Positions

During the current year, certain assets held in the Lakes Descendants Trust, as well as assets held in the Lakes Descendants Trusts for the benefit of dependent children, were transferred into the Lakes Investment LLC comprised of reportable and non-reportable entities.

Investment positions held at the end of the year in the Lakes Descendants Trusts are as follows:

Women's Growth Capital Fund I, LLLP

Description	Category of Market Value
Cash and cash equivalents	$1,001 - $15,000
BuyerZone.com	$1,001 - $15,000
CommuniSpace	$15,001 - $50,000
Cylex	$1,001 - $15,000
Destiny Websolutions	$15,001 - $50,000
Enfish Technology Inc	$1,001 - $15,000
Fran's Healthy Helpings Inc	$1,001 - $15,000
Paratek Microwave	$1,001 - $15,000
VIP Desk.com	$15,001 - $50,000
iVillage	$1,001 - $15,000

Lakes Investment LLC

Description	Category of Market Value
Touchtone Tax Free Trust – MMF	$15,001 - $50,000
California Tax Exempt Municipal Bonds:	
Alhambra CA Crfs Partn Clubhouse Fac	$1,001 - $15,000
Anaheim CA Pub Fin Auth Rev Elec Util	$1,001 - $15,000
Beverly Hills CA Uni Sch Dist G/O	$1,001 - $15,000
CA Hsg Fin Agy Rev Sgl Fam Mtg	$1,001 - $15,000
CA Hsg Fin Agy Rev Home Mtg Ser F	$15,001 - $50,000
CA Hsg Fin Agy Rev Home Mtg Ser I	$15,001 - $50,000

JANE HARMAN
Financial Disclosure Statement

Attachment 3 – Lakes Descendants Trusts Detail of Investment Positions (Continued)

Description	Category of Market Value
CA Hsg Fin Agy Rev Home Mtg Ser J	$15,001 - $50,000
CA Infrastructure & Econ Dev Bk	$50,001 - $100,000
CA Hsg Fin Agy Sgl Fam Mtg	$15,001 - $50,000
CA St Amt-Veterans Ser B	$50,001 - $100,000
CA State G/O 2001	$1,001 - $15,000
CA State 6/1/70	$1,001 - $15,000
CA State G/O Veterans 12/1/97	$50,001 - $100,000
CA State G/O 10/1/92	$1,001 - $15,000
CA State G/O Veterans 12/29/97	$15,001 - $50,000
CA State G/O 10/1/00	$50,001 - $100,000
CA State G/O 10/1/99	$1,001 - $15,000
CA State Dept Wtr Rescent Vlly Proj	$15,001 - $50,000
CA State Pub Wks Brd Lse 4/6/96	$1,001 - $15,000
CA State Pub Wks Brd Lse 4/1/96	$1,001 - $15,000
CA Statewide Cmntys-Ararat Home LA	$15,001 - $50,000
CA State Univ Inst Lease CSU Def Maint	$15,001 - $50,000
CA Statewide Cmnty Dev Corp COPS-J Paul Getty Tr	$1,001 - $15,000
Colton CA Jt Uni Sch Dist	$1,001 - $15,000
Conejo Vy CA Uni Sch Dist	$1,001 - $15,000
Corona CA CRFS Partn Wtr Sys	$1,001 - $15,000
Corona-Norco CA Uni Sch Dist	$1,001 - $15,000
Cotati Rohnert Pk CA Uni Sch Dist	$1,001 - $15,000
East Bay CA MUD Wtr Sys	$15,001 - $50,000
East Side Un High Sch Dist CA Santa Clara CO	$1,001 - $15,000
Encinatas CA Pub Fing Auth Lease Rev Acq	$1,001 - $15,000
Fresno CA Crfs Partn Cap Impt Refing Proj	$15,001 - $50,000
Kentfield CA Sch Dist G/O	$15,001 - $50,000
Kern CA Cmnty Clge Dist Impt Bd Act 1915	$15,001 - $50,000
Kern CO CA Brd Ed CTFS	$1,001 - $15,000
Lancaster CA Redev Agy Tax Alloc RFDG	$1,001 - $15,000
Lemoore CA Un High Sch Dist RFDG	$15,001 - $50,000
Loomis CA Un Sch Dist G/O	$15,001 - $50,000
LA CA CTFS Partn Equip & Real Ppty Acq Proj	$50,001 - $100,000
LA CA Convention & Exhib Ctr Auth Lse	$15,001 - $50,000
LA CA DWAP Elec Plant Rev	$15,001 - $50,000
LA CA DWAP Elec Plant Rev Crossover Rfnd	$15,001 - $50,000
LA CA DWAP Elec Second Issue 10/15/93	$1,001 - $15,000

JANE HARMAN
Financial Disclosure Statement

Attachment 3 – Lakes Descendants Trusts Detail of Investment Positions (Continued)

Description	Category of Market Value
LA CA DWAP Elec Second Issue 7/15/92	$15,001 - $50,000
LA CA Harbor Dept Rev Ser B	$15,001 - $50,000
LA CA USD COPS Mltpl Pptys Proj A	$1,001 - $15,000
LA CO CA Met Trans Auth Sls Tx	$1,001 - $15,000
LA CO CA Pub Wks Fing Au Lse Rev	$1,001 - $15,000
LA CO CA Pub Wks Fing Au Regl Pk&Open Space	$1,001 - $15,000
Mesa CA Cons Wtr Dist CRFS	$1,001 - $15,000
Metropolitan WTR Dist SO CA Wtrwks	$1,001 - $15,000
Milpitas CA USD G/O	$1,001 - $15,000
Monrovia CA USD CRFS Partn Fing Proj	$1,001 - $15,000
Montebello CA Cmnty Redev Agy 6/1/97	$15,001 - $50,000
Montebello CA Cmnty Redev Agy 12/1/98	$1,001 - $15,000
Orange CO CA COPS RFDG Zero Coupon	$1,001 - $15,000
Palm Drive Health Care Dist CA G/O	$1,001 - $15,000
Pioneers Mem Hosp Dist CA	$15,001 - $50,000
Pleasanton CA USD Ser J	$1,001 - $15,000
Pleasanton CA USD Ser K	$1,001 - $15,000
Port Oakland CA Port Rev	$1,001 - $15,000
Porterville CA CRFS Partn Swr Sys	$1,001 - $15,000
Poway CA USD Spcl Tax Cmnty Facs	$1,001 - $15,000
Rocklin CA USD	$15,001 - $50,000
Sacramento CA CTFS Partn Light Rail	$15,001 - $50,000
Sacramento CA MUD Elec Rev	$1,001 - $15,000
Saddleback Vy USD	$1,001 - $15,000
San Diego St Univ CA Rev Pkg Sys	$1,001 - $15,000
San Francisco CA City & CO Intl Arprt Ser 7A	$1,001 - $15,000
San Francisco CA City & CO Intl Arprt Ser 9B	$1,001 - $15,000
San Francisco CA City & CO Intl Arprt Ser 10A	$1,001 - $15,000
San Francisco ST Univ Fndtn Stdnt Hsg	$15,001 - $50,000
San Jose CA Redev Agy Multi Fam Hsg	$15,001 - $50,000
San Mateo CO CA G/O Tran Dist	$15,001 - $50,000
Santa Ana CA Fing Auth Wtr Rev	$1,001 - $15,000
Santa Clara CA CTFS Rfdg	$15,001 - $50,000
Santa Clara Cnty CA Brd Ed COPS	$15,001 - $50,000
Santa Clara CO CA Hsg AU MFHR	$100,001 - $250,000
Santa Rosa CA Hosp Rev	$1,001 - $15,000
SO San Francisco CA USD	$15,001 - $50,000

JANE HARMAN
Financial Disclosure Statement

Attachment 3 – Lakes Descendants Trusts Detail of Investment Positions (Continued)

Description	Category of Market Value
SO CA Pub Pwr Au Pwr Mead Adelanto	$1,001 - $15,000
Thousand Oaks CA CTFS Partn	$1,001 - $15,000
Turlock CA Irr Dist Rev	$1,001 - $15,000
University CA Rev Ref Multi Purp Ser C	$15,001 - $50,000
Vallejo CA Rev Ref Str Impt	$15,001 - $50,000
Walnut CA Pub Fing Auth Tax Alloc	$1,001 - $15,000
Walnut Valley CA Wtr Dist COPS	$1,001 - $15,000
Wheeler Ridge-Maricopa CA Wtr Storage	$15,001 - $50,000

Attachment 4 - Rhone Partners, LP Detail of Investment Positions

Description	Category of Market Value
Primus International	$250,001 - $500,000
Car Component Technologies Inc	$250,001 - $500,000
Home Fragrance Holdings Inc	$50,001 - $100,000
Terphane	$100,001 - $250,000
Uni-Euro	$50,001 - $100,000
De Dietrich	$100,001 - $250,000
Nation One Mortgage Company Inc	$1,001 - $15,000
Royalty Pharma AG	$100,001 - $250,000
WVNY (Burlington VT)	$250,001 - $500,000

JANE HARMAN
Financial Disclosure Statement

Attachment 5 – Selectinvest LP Detail of Investment Positions

Description	Category of Market Value
Ascot Partners LP	$100,001 - $250,000
Milton Arbitrage Fund LP	$250,001 - $500,000
Obsidian Fund LLC	$500,001 - $1,000,000
Perry Partners LP	$250,001 - $500,000
Cerberus Partners LP	$100,001 - $250,000
Pine Street Partners LP	$250,001 - $500,000
Rockwood Partners LP	$250,001 - $500,000
AG&P Power Fund LP	$15,001 - $50,000
Michaelangelo LP	$100,001 - $250,000
Palladin Partners I LP	$50,001 - $100,000
Satelite Fund II LP	$500,001 - $1,000,000
Seneca Capital LP	$100,001 - $250,000
King Street Capital LP	$250,001 - $500,000
OZ Europe Domestic Partners LP	$100,001 - $250,000
OZF Credit Opportunities Fund LP	$100,001 - $250,000
Perry European Fund LP	$15,001 - $50,000
Brencourt Arbitrage LP	$250,001 - $500,000
Ericott Partners LP	$100,001 - $250,000
OZ Domestic Partners LP	$100,001 - $250,000
Trilogy Financial Partners LP	$50,001 - $100,000
Liberty View Global Volatility Fund LLC	$50,001 - $100,000
Quattro Domestic Fund LP	$50,001 - $100,000
Arbitex Partners LP	$100,001 - $250,000
Alliance High Grade Strategy Partners LP	$50,001 - $100,000
Cash & Other	$50,001 - $100,000

Attachment 6 – Pilgrim America High Income Detail of Investment Position

Description	Category of Market Value
Capital Note due 2009	$500,001 - $1,000,000

JANE HARMAN
Financial Disclosure Statement

Attachment 7 –JBG Investment Fund I LP Detail of Holdings

Various commercial real estate properties in the Washington DC area are as follows:

1275 K Street NW
Washington DC

Columbia Hospital Transaction
2400 and 2440 M Street NW
Washington DC

1210 Massachusetts Avenue NW
Washington DC

1300 N Street NW
Washington DC

IBM Technology Campus
Austin Texas

717 6th Street NW
Washington DC

Dulles Business Park II
Chantilly VA

Waterview Project
Arlington VA

Twinbrook Metro Park
6006 Executive Boulevard
Rockville Maryland

Woodmont Ground Lease
Bethesda Maryland

Reston Sheraton Hotel/Office
Reston VA

Olde Salem Village Apartments
Fairfax VA

915 E Street
Washington DC

JANE HARMAN
Financial Disclosure Statement

Attachment 8 – Peabody International Real Estate Private Partners LLC Detail of Holdings

Various commercial real estate properties and companies located outside the United States as follows:

Investment	Type	Location
G Accion SA de CV	Office/Industrial Operator	Mexico
HPE Property Holding GmbH	Commercial/Residential Developer	Germany
BEG SA	Retail Developer	Europe
Inversiones y Representaciones SA IRSA	Diversified Operator/Developer	Argentina
Hausbau HRP	Residential Operator	Germany
Auriga Immobiliare Srl Unim Residential	Residential Operator	Italy
Iniziative Negozi Srl Unim Retail	Retail Properties	Italy
Uniorias Due Srl Unim Commercial	Office Properties	Italy
Erste Hausbau Portfolio GmbH Mannheimer	Residential Properties	Germany
Peabody Cutlers Gardens LP Cutler Gardens Estate	Office Properties	England

JANE HARMAN
Financial Disclosure Statement

Attachment 8 – Peabody International Real Estate Private Partners LLC Detail of Holdings (Continued)

Investment	Type	Location
PI France 1 Sarl Diamonds Portfolio	Office Properties	France
Peabody Meguro LLC Meguro Apartments	Commercial/Residential Property	Japan
Peabody Global Kanagawa Kanagawa Apartments	Commercial/Residential Property	Japan
CWE Holding I LLC London West End	Commercial/Residential Properties	England

SCHEDULE A
1/3

JANE HARMAN
SCHEDULE III ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

BLOCK A		BLOCK B												BLOCK C							BLOCK D											BLOCK E
Asset and/or Income Source		Value of Asset												Type of Income							Amount of Income											Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,0	Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
SP	Astrazeneca PLC ADR					X								X										X								
SP	ABN Amro Holding NV ADR					X								X										X								P
SP	Aventis ADR						X							X			X										X					S
SP	AXA					X								X										X								
SP	Aegon NV						X														X											P
SP	Alcatel ADR					X								X									X									
SP	Allenauza Assicurazioni SPA				X									X			X				X											S,P
SP	BAE Systems PLC					X								X										X								
SP	BNP Paribas					X								X			X										X					S
SP	BP PLC ADR						X							X											X							E,P
SP	Barclay's PLC					X															X											P
SP	Cadbury Schweppes PLC ADR					X								X										X								
SP	Canon Inc. ADR					X								X			X									X						S
SP	Diageo PLC					X								X											X							
SP	Danske Bank ADR					X															X											P
SP	ENI SPA					X								X										X								P
SP	Electrolux AB				X									X									X									
SP	Endesa SA ADR					X								X										X								
SP	E.On AG NPV					X								X										X								
SP	Great Universal Stores PLC					X								X										X								P
SP	Glaxo Smithkline PLC ADR						X							X										X								E,P
SP	ING Groep NV ADR					X								X											X							P
SP	Investor AB					X								X			X				X											S
SP	HSBC Holdings PLC					X								X											X							P
SP	Heineken NV ADR					X								X			X						X									S,P
SP	Koninklijke Philips Electronics NV					X								X									X									
SP	KAO Corp. ADR				X									X									X									
SP	Lazard Funds Intl Small Cap Portfolio						X							X			X				X											S,P
SP	National Grid Group PLC				X									X										X								
SP	Novartis AG ADR						X														X											P
SP	NTT Docomo Inc.				X									X			X									X						S
SP	Nissan Motor Co. Ltd.					X								X			X										X					S

SCHEDULE A
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JANE HARMAN
SCHEDULE III ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

BLOCK A		BLOCK B												BLOCK C							BLOCK D											BLOCK E
Asset and/or Income Source		Value of Asset												Type of Income							Amount of Income											Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	
SP	Nestle SA ADR						X														X											P
SP	Oriz Corp.					X								X								X										
SP	Portugal Telecom SA				X																X											
SP	Roche Holdings Ltd. ADR				X									X									X									P
SP	San Paolo-Imi Spa				X									X										X								
SP	Siemens AG ADR					X								X										X								
SP	Suez Lyonnaise des Eaux				X									X									X									
SP	Sony Corp. ADR					X								X			X									X						S
SP	SSGA Money Funds						X							X											X							
SP	Telefonica SA ADR					X											X										X					S
SP	Total Fina S.A.						X							X										X								
SP	UPM Kymmene Corp.				X									X										X								
SP	UBS AG					X															X											P
SP	Unilever PLC ADR					X								X									X									P
SP	Vivendi Universal					X								X									X									
SP	Vodafone Airtouch ADR					X								X			X									X						S
SP	Zurich Financial Services				X									X										X								
SP	Svenska Handelsbaken Ser A	X															X										X					S
SP	Compagnie de Saint Gobain	X															X								X							S
SP	Reed International	X															X										X					S
SP	Royal Dutch Petroleum	X															X									X						S
SP	Syngenta AG ADR	X															X							X								S
SP	Dreyfus Treasury Prime Cash Mgmt.				X									X														X				
SP	FHLB 03/06/2006								X							X					X											P
SP	USTN 05/15/2005								X							X										X						P
SP	USTN 08/15/2010						X									X					X											P
SP	USTN 02/15/2010								X												X											P
SP	USTN 08/15/2004								X							X					X											P
SP	USTN 05/15/2009						X									X					X											P
SP	Los Angeles Cnty CA Met Trans 07/01/11								X							X	X											X				S
SP	USTN 02/15/2003	X														X	X											X				S
SP	USTN 02/28/2002	X												-2		X	X										X					S

SCHEDULE A
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JANE HARMAN
SCHEDULE III ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Value of Asset												Type of Income							Amount of Income											Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	
SP	MAC NY 07/01/2006	X														X	X											X				S
SP	FHLB 08/15/2003	X														X	X											X				S
SP	Honolulu HI 07/01/2003	X														X	X											X				S
SP	FHLB 05/15/2007	X														X	X								X							S,P
SP	California DPW 12/01/2008	X														X	X								X							S, P
SP	FHLB 08/15/2002	X														X	X									X						S,P
SP	Houston TX 07/15/07	X														X	X									X						S,P
SP	Los Angeles Co DWP. CA 07/01/2010	X														X	X								X							S,P
SP	Los Angeles Co DWP. CA 01/15/2033	X														X	X								X							S,P
SP	Oakland CA 08/01/2009	X														X	X									X						S,P
SP	Phoenix AZ 07/01/2006	X														X	X											X				S
SP	Puerto Rico 07/01/2004	X														X	X										X					S,P
SP	California DPW 12/01/2009	X														X	X										X					S
SP	Los Angeles Co. CA 07/01/2014	X														X	X								X							S
SP	Contra Costa CA 10/01/2010	X														X	X											X				S
SP	California St 10/01/2005	X														X	X										X					S
SP	California St 12/01/2008	X														X	X										X					S,P
SP	California St PW 12/01/2006	X														X	X											X				S
SP	California St 12/01/2009	X														X	X											X				S
SP	Kansas ST 09/01/2007	X														X	X											X				S
SP	Los Angeles Co. CA 06/01/2013	X														X	X										X					S
SP	Orange Cnty CA 02/15/2017	X														X	X											X				S
SP	Phoenix AZ 07/01/2006	X														X	X											X				S
SP	California RFA 10/01/2010	X														X	X											X				S
SP	Apple Computer						X									X					X											
SP	Dreyfus Treasury Prime Cash Mgmt.								X							X												X				
SP	Dreyfus Treasury Prime Cash Mgmt.	X														X									X							
SP	Dreyfus Treasury Prime Cash Mgmt.								X							X											X					
SP	JP Morgan Tax Free MM						X									X										X						
SP	US Notes (Treasury Inflation Indexed)										X					X					X											P
SP	Nations CA Tax Exempt Reserves	X														X										X						

JANE HARMAN
SCHEDULE III ATTACHMENT
SIDNEY HARMAN CHARITABLE REMAINDER TRUST

SCHEDULE B

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Value of Asset												Type of Income							Amount of Income											Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
SP	Dreyfus Treasury Prime Cash Mgmt						X									X									X							
SP	JP Morgan Emerging Markets Debt Fund									X				X															X			
SP	JP Morgan International Short Term Bond Fund										X			X			X												X			S
SP	Harman International Industries										X			X													X					
SP	Pan Capital LLC									X										Partnership	X											

SCHEDULE E

JANE HARMAN
SCHEDULE III ATTACHMENT
JANE HARMAN 15 YEAR GRANTOR TRUST

BLOCK A		BLOCK B												BLOCK C							BLOCK D											BLOCK E
Asset and/or Income Source		Value of Asset												Type of Income							Amount of Income											Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,00	$25,000,001 - $50,000,0	Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
SP	**WR Hambrecht Prime Cash Series**						X									X									X							
SP	**Scudder International Fund**						X							X									X									
SP	**Vanguard Index Trust S&P 500**							X						X												X						
SP	**Bank of New York Cash Reserve**			X												X						X										
SP	**Harman International Industries**									X				X											X							
SP	**Attenza**					X															X											E
SP	**Olliance**	X															X				X											worthless
SP	**Brightlink**				X																X											
SP	**LuxN**					X															X											P
SP	**MyCustoms.com**				X																X											

Schedule D
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SCHEDULE III ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Value of Asset												Type of Income							Amount of Income											Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
SP	Julius Baer International Equity								X												X											P
SP	Fidelity California Muni MMF							X								X											X					S,P
SP	JP Morgan Federal MM				X									X									X									
SP	Ade Corp-Mass				X																X											
SP	Aehr Test Sys.				X																X											
SP	Alltel Corp.							X						X												X						
SP	Analogic Corp.				X									X									X									
SP	Apple Computer Inc.						X														X											P
SP	Bandag Inc.					X								X											X							
SP	Bank of New York Cash Reserve									X				X													X					
SP	Banknorth Group Inc.					X								X										X								E
SP	Bear Stearns Companies, Inc.						X							X										X								P
SP	Charter One Finl Inc.						X							X												X						
SP	Chemfirst Inc.					X								X									X									P
SP	Chittenden Corp.				X									X										X								
SP	Cognos Inc.					X															X											
SP	Computer Associates Intl Inc.							X						X									X									
SP	Connecticut Bancshares Inc.						X							X										X								
SP	Credence Sys Corp.						X														X											P
SP	Datascope Corp.					X								X									X									
SP	Dime Bancorp					X								X			X									X						
SP	Dime Litigation Tracking Warrants		X																		X											
SP	Dundee Bancorp Inc.					X															X											
SP	Electro Rent Corp.					X															X											
SP	Equifax Inc.					X								X									X									
SP	Fab Inds Inc.				X									X									X									
SP	Fahnestock Viner Holdings Inc. Cl A					X								X									X									
SP	Fidelity Bankshares Inc.						X							X										X								P
SP	Forest City Enterprises Inc. Cl A						X							X									X									
SP	Gannett Co.						X							X										X								P

Schedule D
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SCHEDULE III ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Value of Asset												Type of Income							Amount of Income											Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	
SP	Harrahs Entertainment Inc.						X														X											
SP	Imation Corp.						X														X											
SP	Independence County Bank						X							X											X							
SP	International Game Technology							X									X										X					
SP	Interstate Bakeries Corp.						X							X											X							
SP	Kimball International Inc. Cl B				X									X										X								
SP	Knight Ridder Inc.						X							X										X								
SP	Lawson Products Inc.					X								X										X								
SP	Libbey Inc.					X								X									X									
SP	Marcus Corp.					X								X										X								
SP	McClatchy Co.						X							X									X									P
SP	Mentor Graphics Corp.						X										X											X				P, S
SP	Midas Inc.				X									X									X									
SP	Miller Herman Inc.					X								X									X									
SP	Mine Safety Appliances Co.					X								X									X									
SP	NCR Corp.					X															X											P
SP	New York Times Co. Cl A							X						X										X								P
SP	Penn Engineering & Mfg. Corp.					X								X										X								
SP	Pope Resources Depositary Unit LP				X																X											
SP	Progress Software Corp.						X														X											
SP	Qualcomm Inc.						X														X											
SP	Quantum Corp. DSSG						X														X											P
SP	Raymond James Financial Inc.					X								X									X									
SP	Ryans Family Steak House						X														X											
SP	Scientific Atlanta Inc.						X							X								X										P
SP	Skyline Corp.				X									X									X									
SP	Sothebys Hldgs Inc.					X															X											
SP	Stillwell Financial Inc.						X							X								X										P
SP	Storage Technology Corp.						X														X											P
SP	Superior Industries International Inc.					X								X									X									

SCHEDULE D
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SCHEDULE III ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

BLOCK A		BLOCK B												BLOCK C							BLOCK D											BLOCK E
Asset and/or Income Source		Value of Asset												Type of Income							Amount of Income											Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	
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SP	Tektronix Inc.					X															X											P
SP	Topps Company Inc.					X															X											
SP	Triumph Group Inc.						X														X											
SP	UCBH Holdings Inc.						X														X											
SP	Universal Health REIT				X									X											X							
SP	Valassis Communications Inc.						X														X											
SP	Virco Mfg. Co.				X									X			X					X										
SP	Weis Markets Inc.				X									X										X								
SP	West Pharmaceutical Svcs Inc.					X								X										X								
SP	Shaw Industries Inc.	X															X										X					S
SP	Pitney Bowes Inc.	X												X			X										X					S
SP	News Corp. ADR	X															X										X					S, E
SP	RR Donnelley & Sons Company	X												X			X										X					S
SP	Landamercia Financial Corp.	X															X						X									S
SP	Roadway Express Inc.	X												X			X										X					S
SP	Alico Inc.	X															X									X						S
SP	United Stationers Inc.	X															X										X					S
SP	Brush Engineered Materials Inc.	X												X			X									X						S
SP	Industrial Bancorp Inc.	X												X			X							X								S
SP	Chris-Craft Industries Inc.	X															X									X						S
SP	First American Corp.	X															X										X					S
SP	Certegy Inc.	X															X										X					S, E
SP	BHC Communications Inc.	X												X									X									S
SP	AMBAC Financial Group						X							X			X				X											S,P
SP	American Home Products Corporation						X							X									X									P
SP	American International Group							X						X									X									P
SP	Amgen Inc.							X									X												X			S
SP	Anheuser-Busch Companies, Inc.							X						X										X								P
SP	AOL-Time Warner						X										X												X			S
SP	Automatic Data Processing Inc.							X						X									X									P

SCHEDULE D
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SCHEDULE III ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
	Asset and/or Income Source	Value of Asset												Type of Income							Amount of Income											Transaction
		A None	B $1 - $1,000	C $1,001 - $15,000	D $15,001 - $50,000	E $50,001 - $100,000	F $100,001 - $250,000	G $250,001 - $500,000	H $500,001 - $1,000,000	I $1,000,001 - $5,000,000	J $5,000,001 - $25,000,000	K $25,000,001 - $50,000,000	L Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	I None	II $1 - $200	III $201 - $1,000	IV $1,001 - $2,500	V $2,501 - $5,000	VI $5,001 - $15,000	VII $15,001 - $50,000	VIII $50,001 - $100,000	IX $100,001 - $1,000,000	X $1,000,001 - $5,000,000	XI Over $5,000,000	
SP	Charles Schwab Corp.					X								X			X											X				S
SP	Checkpoint Software Technologies				X												X				X											S,P
SP	Cisco Systems						X										X									X						S
SP	Comcast Corp.						X														X											P
SP	Costco Wholesale Corp.				X												X										X					S
SP	Dreyfus Treasury Prime Cash Mgmt									X				X													X					
SP	Estee Lauder Companies						X							X			X				X											S,P
SP	Federated Invs Inc.							X						X									X									P
SP	Genentech Inc.						X														X											
SP	General Electric Co.							X						X			X									X						S
SP	Glaxo Holdings PLC ADR						X							X									X									P
SP	Harley Davidson Inc.					X								X			X											X				S
SP	Intel Corp.						X							X			X											X				S
SP	International Flavors & Fragrances					X															X											P
SP	Johnson & Johnson						X							X										X								P
SP	Marsh McLennan Cos Inc.							X						X			X				X											S,P
SP	Merck & Co.							X						X			X				X											S,P
SP	Microsoft Corp.							X													X											P
SP	Millenium Pharmaceuticals				X												X				X											S,P
SP	Nokia Corp.							X						X			X												X			S
SP	Pfizer Inc.							X						X			X										X					S
SP	Pharmacia Corp.							X						X										X								P
SP	Qualcomm Inc.					X															X											P
SP	Sysco Corp.							X						X			X									X						S,P
SP	Teva Pharmaceutical Inds ADR					X															X											P
SP	Tyco International Ltd.							X						X									X									
SP	United Parcel Service Inc.					X															X											P
SP	Veritas Software Co.				X												X				X											S,P
SP	Viacom Inc.					X															X											P
SP	Vodafone Group ADR							X						X			X									X						S,P

Schedule D
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SCHEDULE III ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

BLOCK A		BLOCK B												BLOCK C						BLOCK D											BLOCK E
Asset and/or Income Source		Value of Asset												Type of Income						Amount of Income											Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,00	Over $50,000,000	Dividends	Rent	Interest	Capital Gains	Excepted Trust	Qualified Blind Trust	Other Type of Income	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000
SP	**Walgreen Company**							X						X			X									X					S
SP	**TyCom Ltd.**	X												X			X				X										S
SP	**Weatherford Intl, Inc.**	X															X												X		S
SP	**Clear Channel Communications**	X															X							X							S

SCHEDULE E
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JANE HARMAN
SCHEDULE IV ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,0	Over $50,000,000
SP	TDC A/S		X		5/17/01		X								
SP	Mizuho Holdings		X		9/5/01	X									
SP	Fujitsu Ltd. ADR		X		12/19/01	X									
SP	Wolters Kluwer NV ADR		X		12/19/01			X							
SP	Akzo Nobel NV		X		12/28/01			X							
SP	Overseas Chinese Bank		X		12/28/01		X								
SP	Alleanza Assicurazioni SPA		X		12/27/01		X								
SP	Canon Inc. ADR		X		2/7/01			X							
SP	Svenska Handelsbanken Ser A		X		2/2/01			X							
SP	Sankyo Co. Ltd.		X		2/2/01			X							
SP	Volvo AB ADR		X		2/2/01		X								
SP	Compagnie de Saint Gobain		X		2/2/01		X								
SP	NTT Docomo Inc.		X		2/2/01		X								
SP	Reed International PLC		X		2/7/01			X							
SP	Telefonica SA ADR		X		2/20/01										
SP	Aventis ADR		X		2/22/01				X						
SP	Invensys		X		2/16/01		X								
SP	BNP Paribas		X		2/16/01		X								
SP	Royal Dutch Petroleum NY		X		2/22/01		X								
SP	Syngenta AG ADR		X		2/22/01	X									
SP	Sony Corp. ADR		X		2/22/01		X								
SP	Telefonica SA ADR		X		2/22/01		X								
SP	Vodafone Group		X		2/22/01		X								
SP	Nissan Motor Co. Ltd.		X		3/14/01			X							
SP	TDC A/S		X		5/17/01		X								

SCHEDULE E
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JANE HARMAN
SCHEDULE IV ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,0	Over $50,000,000
SP	Mizuho Holdings		X		9/5/01		X								
SP	Bayerische Hypo-Und Vereins		X		10/19/01		X								
SP	Nippon Telegraph & Telephone Corp. ADR		X		10/19/01		X								
SP	Sumitomo Mitsui Bank Corp.		X		10/30/01		X								
SP	Elan Corp. PLC ADR		X		11/20/01			X							
SP	Allianz AG Holdings		X		12/14/01			X							
SP	Fujitsu Ltd. ADR		X		12/19/01		X								
SP	TDK Corp. ADR		X		12/19/01		X								
SP	Overseas Chinese Bank		X		12/28/01		X								
SP	Lazard Funds Intl Small Cap. Port.		X		12/26/01			X							
SP	Investor AB		X		12/27/01			X							
SP	ABN Amro Holding NV	X			2/8/01			X							
SP	Aegon NV	X			12/27/01				X						
SP	Akzo Nobel NV	X			2/17/01			X							
SP	Alleanza Assicurazioni SPA	X			3/5/01			X							
SP	Barclays PLC ADR	X			12/27/01			X							
SP	BP PLC ADR	X			2/7/01		X								
SP	Danske Bank	X			12/19/01			X							
SP	Elan Corp. PLC ADR	X			3/15/01			X							
SP	ENI SPA	X			3/8/01		X								
SP	GlaxoSmithKline PLC ADR	X			2/7/01			X							
SP	Great Universal Stores	X			2/16/01			X							
SP	Heineken NV ADR	X			2/22/01		X								
SP	HSBC Holdings PLC	X			2/5/01		X								
SP	ING Groep NV ADR	X			2/7/01		X								

SCHEDULE E
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JANE HARMAN
SCHEDULE IV ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

Asset		Type of Transaction			Date	Amount of Transaction									
		Purchase	Sale	Exchange	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,00	J $25,000,001-$50,000,0	K Over $50,000,000
SP	Lazard Funds Intl Small Cap Port	X			12/12/01	X									
SP	Nestle SA ADR	X			12/19/01				X						
SP	Novartis AG ADR	X			11/30/01				X						
SP	Roche Holdings Ltd. ADR	X			2/22/01		X								
SP	UBS AG	X			10/23/01			X							
SP	Unilever PLC	X			10/23/01			X							
SP	Wolters Kluwer NV ADR	X			2/13/01			X							
SP	Sakura Bank Ltd.		X	X	6/20/01		X								
SP	Sumitomo Mitsui Bank Corp.	X		X	6/20/01		X								
SP	Tele Danmark ADR		X	X	6/29/01			X							
SP	TDC A/S	X		X	6/29/01			X							
SP	USTN 02/15/2003		X		1/25/01							X			
SP	USTN 02/28/2002		X		1/25/01						X				
SP	USTN 02/28/2002		X		2/5/01						X				
SP	MAC NY 07/01/2006		X		2/6/01						X				
SP	FHLB 08/15/2003		X		3/16/01						X				
SP	USTN 11/15/2004		X		4/12/01							X			
SP	USTN 11/15/2004		X		4/19/01							X			
SP	Honolulu HI 07/01/2003		X		5/29/01						X				
SP	FHLB 05/15/2007		X		6/7/01					X					
SP	USTN 11/15/2004		X		6/7/01							X			
SP	California DPW 12/01/2008		X		7/13/01						X				
SP	FHLB 08/15/2003		X		7/13/01					X					
SP	FHLB 08/15/2002		X		7/13/01						X				
SP	Houston TX 07/15/07		X		7/13/01						X				

SCHEDULE E
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JANE HARMAN
SCHEDULE IV ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

Asset		Type of Transaction			Date	Amount of Transaction									
		Purchase	Sale	Exchange	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,00	J $25,000,001-$50,000,0	K Over $50,000,000
SP	**Los Angeles Co DWP. CA 07/01/2010**		X		7/13/01					X					
SP	**Los Angeles Co DWP. CA 01/15/2033**		X		7/13/01						X				
SP	**Oakland CA 08/01/2009**		X		7/13/01						X				
SP	**Phoenix AZ 07/01/2006**		X		7/13/01						X				
SP	**Puerto Rico 07/01/2004**		X		7/13/01					X					
SP	**USTB 11/15/2004**		X		7/13/01					X					
SP	**California DPW 12/01/2009**		X		7/13/01					X					
SP	**Los Angeles Co. CA 07/01/2014**		X		7/13/01				X						
SP	**Contra Costa CA 10/01/2010**		X		1/29/01							X			
SP	**California St 10/01/2005**		X		4/9/01						X				
SP	**California St 12/01/2008**		X		4/9/01					X					
SP	**California St PW 12/01/2006**		X		4/9/01							X			
SP	**California St 12/01/2009**		X		7/13/01							X			
SP	**Kansas ST 09/01/2007**		X		7/13/01						X				
SP	**Los Angeles Co. CA 06/01/2013**		X		7/13/01				X						
SP	**Los Angeles Co. CA 07/01/2011**		X		7/13/01						X				
SP	**Orange Cnty CA 02/15/2017**		X		7/13/01						X				
SP	**Phoenix AZ 07/01/2006**		X		7/13/01						X				
SP	**California EFA 10/01/2010**		X		10/24/01						X				
SP	**FHLB 03/06/06**	X			10/24/01						X				
SP	**US Treasury Notes 08/15/04**	X			8/14/01						X				
SP	**US Treasury Notes 08/15/04**	X			8/31/01					X					
SP	**US Treasury Notes 05/15/05**	X			8/14/01						X				
SP	**US Treasury Notes 05/15/09**	X			11/26/01				X						
SP	**US Treasury Notes 02/15/10**	X			8/13/01						X				

SCHEDULE E
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JANE HARMAN
SCHEDULE IV ATTACHMENT
SIDNEY HARMAN 1987 REVOCABLE TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,0	Over $50,000,000
SP	US Treasury Notes 08/15/10	X			12/21/01				X						
SP	US Treasury Notes 11/15/04	X			4/9/01							X			
SP	FHLB 05/15/07	X			5/29/01					X					
SP	California DPW 12/01/08	X			6/5/01						X				
SP	FHLB 08/15/02	X			3/26/01						X				
SP	Houston TX 07/15/07	X			4/19/01						X				
SP	Los Angeles Co DWP 07/01/10	X			3/16/01					X					
SP	Los Angeles Co DWP 01/15/33	X			6/6/01						X				
SP	Oakland CA 08/01/2009	X			6/5/01						X				
SP	Puerto Rico 07/01/2004	X			2/23/01					X					
SP	US Treasury Notes 11/15/04	X			6/19/01					X					
SP	US Notes (Treasury Inflation Indexed)	X			8/6/01								X		

SCHEDULE F

JANE HARMAN
SCHEDULE IV ATTACHMENT
SIDNEY HARMAN CHARITABLE REMAINDER TRUST

		Type of				Amount of Transaction									
	Asset	Transaction			Date										
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,0	Over $50,000,000
SP	**JP Morgan Institutional Short Term Bond Fund**		X		4/19/01				X						
SP	**JP Morgan Institutional Short Term Bond Fund**		X		7/16/01				X						
SP	**JP Morgan Institutional Short Term Bond Fund**		X		10/15/01				X						

SCHEDULE G

JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 15 YEAR GRANTOR TRUST

		Type of			Date										
	Asset	Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,0	Over $50,000,000
SP	LuxN	X			1/11/01		X								
SP	Service 911		X	X	1/1/01			X							
SP	Attenza	X		X	1/1/01			X							

SCHEDULE H
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JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,00	Over $50,000,000
SP	Julius Baer International Equity	X			2/16/01						X				
SP	Shaw Industries Inc.		X		1/9/01		X								
SP	Globalstar Telecommunications Ltd		X		2/1/01	X									
SP	Trinity Industries Inc.		X		2/27/01		X								
SP	Pitney Bowes Inc.		X		5/25/01				X						
SP	BHC Communications Inc. Cl A		X		8/8/01		X								
SP	News Corp. ADR		X		8/30/01		X								
SP	RR Donnelley & Sons Company		X		9/6/01			X							
SP	Landamercia Financial Corp.		X		1/3/01			X							
SP	Shaw Industries Inc.		X		1/9/01			X							
SP	International Game Technology		X		1/8/01			X							
SP	International Game Technology		X		1/9/01	X									
SP	Mentor Graphics Corp.		X		1/9/01			X							
SP	Mentor Graphics Corp.		X		1/19/01			X							
SP	Roadway Express Inc.		X		2/9/01		X								
SP	Trinity Industries Inc.		X		2/27/01			X							
SP	Alico Inc.		X		5/15/01		X								
SP	United Stationers Inc.		X		6/13/01			X							
SP	Dime Bancorp Inc.		X		6/22/01		X								
SP	Brush Engineered Materials Inc.		X		6/26/01			X							
SP	Industrial Bancorp Inc.		X		7/10/01		X								
SP	Texas Industries Inc.		X		7/12/01			X							
SP	United Stationers Inc.		X		7/30/01		X								
SP	BHC Communications Inc. Cl A		X		8/8/01				X						
SP	Chris-Craft Industries Inc.		X		8/8/01			X							
SP	United Television Inc.		X		8/8/01		X								
SP	United Stationers Inc.		X		8/6/01			X							
SP	First American Corp.		X		8/30/01			X							
SP	News Corp. ADR		X		8/30/01			X							
SP	Certegy Inc.		X		12/6/01		X								

SCHEDULE H

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JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
		Purchase	Sale	Exchange	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Apple Computer, Inc.	X			9/25/01			X							
SP	Apple Computer, Inc.	X			9/28/01		X								
SP	Bear Stearns Companies, Inc	X			2/28/01		X								
SP	Chemfirst, Inc.	X			9/20/01			X							
SP	Credence Systems Corp.	X			4/4/01			X							
SP	Credence Systems Corp.	X			10/22/01			X							
SP	Fidelity Bancshares Inc.	X			5/15/01			X							
SP	Gannett Co.	X			3/2/01				X						
SP	Gannett Co.	X			3/23/01			X							
SP	McClatchy Co.	X			3/27/01		X								
SP	Mentor Graphics Corp.	X			9/7/01	X									
SP	Mentor Graphics Corp.	X			9/25/01		X								
SP	NCR Corp.	X			8/14/01		X								
SP	NCR Corp.	X			9/24/01		X								
SP	New York Times Co. Cl A	X			3/2/01				X						
SP	New York Times Co. Cl A	X			3/7/01				X						
SP	New York Times Co. Cl A	X			4/16/01		X								
SP	Quantum Corp. DSSG	X			1/23/01			X							
SP	Quantum Corp. DSSG	X			5/15/01			X							
SP	Quantum Corp. DSSG	X			6/20/01		X								
SP	Quantum Corp. DSSG	X			10/26/01		X								
SP	Scientific Atlanta Inc.	X			9/21/01			X							
SP	Stillwell Financial Inc.	X			6/27/01				X						
SP	Stillwell Financial Inc.	X			9/26/01			X							
SP	Storage Technology Corp.	X			4/23/01			X							
SP	Tektronix Inc.	X			8/7/01			X							
SP	Andover Bancorp Inc.		X	X	11/5/01			X							
SP	Banknorth Group Inc.	X		X	11/5/01			X							
SP	United Television Inc.		X	X	8/8/01			X							
SP	News Corp. ADR	X		X	8/8/01			X							

SCHEDULE H
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JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

Asset		Type of Transaction			Date	Amount of Transaction									
		Purchase	Sale	Exchange	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Equifax Inc.		X	X	7/12/01		X								
SP	Certegy Inc.	X		X	7/12/01		X								
SP	Tycom Ltd		X		1/30/01		X								
SP	Tycom Ltd		X		1/31/01		X								
SP	SDL, Inc.		X		2/7/01		X								
SP	Millennium Pharmaceuticals, Inc.		X		3/20/01		X								
SP	JDS Uniphase		X		4/4/01	X									
SP	Inhale Therapeutic Systems		X		4/17/01		X								
SP	Tycom Ltd		X		4/19/01			X							
SP	Tycom Ltd		X		4/20/01	X									
SP	Juniper Networks		X		4/23/01		X								
SP	Check Point Software Technologies		X		4/24/01			X							
SP	Veritas Software Corp.		X		5/7/01		X								
SP	MBIA, Inc.		X		5/17/01			X							
SP	MBIA, Inc.		X		5/18/01				X						
SP	MBIA, Inc.		X		5/21/01		X								
SP	Veritas Software Corp.		X		5/22/01		X								
SP	Costco Wholesale Corp.		X		5/25/01		X								
SP	Enron Corp.		X		6/19/01			X							
SP	Enron Corp.		X		7/3/01				X						
SP	Weatherford Intl, Inc.		X		7/3/01		X								
SP	EMC Corp.		X		8/2/01		X								
SP	Juniper Networks		X		8/15/01	X									
SP	Veritas Software Corp.		X		8/27/01		X								
SP	Juniper Networks		X		8/28/01	X									
SP	Check Point Software Technologies		X		9/5/01		X								
SP	Siebel Systems, Inc.		X		10/1/01		X								
SP	AMBAC Financial Group, Inc.		X		10/17/01		X								
SP	AMBAC Financial Group, Inc.		X		10/18/01		X								
SP	Inhale Therapeutic Systems		X		10/22/01	X									

SCHEDULE H
4/7

JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,000	$25,000,001-$50,000,000	Over $50,000,000
SP	Inhale Therapeutic Systems		X		10/24/01		X								
SP	AMBAC Financial Group, Inc.		X		10/26/01	X									
SP	Qwest Communications Intl, Inc.		X		11/1/01			X							
SP	Inhale Therapeutic Systems		X		11/7/01		X								
SP	Inhale Therapeutic Systems		X		11/8/01		X								
SP	Check Point Software Technologies		X		12/27/01	X									
SP	Veritas Software Corp.		X		12/27/01		X								
SP	Intel Corporation		X		1/5/01		X								
SP	Intel Corporation		X		1/11/01				X						
SP	Amgen Inc.		X		2/9/01				X						
SP	AOL Time Warner, Inc.		X		2/14/01				X						
SP	Clear Channel Communications, Inc.		X		2/23/01		X								
SP	Harley Davidson, Inc.		X		2/26/01		X								
SP	Clear Channel Communications, Inc.		X		3/2/01			X							
SP	Walgreen Company		X		3/6/01		X								
SP	Weatherford Intl, Inc.		X		3/7/01				X						
SP	Harley Davidson, Inc.		X		3/30/01		X								
SP	Harley Davidson, Inc.		X		4/3/01			X							
SP	Harley Davidson, Inc.		X		4/4/01		X								
SP	Harley Davidson, Inc.		X		4/5/01	X									
SP	Nokia Corp.		X		5/1/01			X							
SP	Harley Davidson, Inc.		X		5/4/01		X								
SP	Cisco Systems, Inc.		X		5/7/01			X							
SP	Harley Davidson, Inc.		X		5/18/01	X									
SP	Harley Davidson, Inc.		X		5/21/01	X									
SP	Veritas Software Corp.		X		5/22/01	X									
SP	Costco Wholesale Corp.		X		5/25/01		X								
SP	Costco Wholesale Corp.		X		6/13/01		X								
SP	General Electric Company		X		6/14/01			X							
SP	Schwab Charles		X		6/14/01			X							

Schedule H
5/7

JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

	Asset	Type of Transaction			Date	Amount of Transaction									
						B	C	D	E	F	G	H	I	J	K
		Purchase	Sale	Exchange	(MO/DAY/YR)	$1,001-$15,000	$15,001-$50,000	$50,001-$100,000	$100,001-$250,000	$250,001-$500,000	$500,001-$1,000,000	$1,000,001-$5,000,000	$5,000,001-$25,000,00	$25,000,001-$50,000,0	Over $50,000,000
SP	Pfizer, Inc.		X		6/15/01				X						
SP	Costco Wholesale Corp.		X		6/21/01	X									
SP	Costco Wholesale Corp.		X		7/2/01		X								
SP	Weatherford Intl, Inc.		X		7/3/01				X						
SP	Harley Davidson, Inc.		X		7/13/01	X									
SP	Cisco Systems, Inc.		X		8/2/01		X								
SP	Marsh & McLennan Cos, Inc.		X		9/5/01		X								
SP	Qwest Communications Intl, Inc.		X		9/7/01			X							
SP	Amgen Inc.		X		9/19/01				X						
SP	Sysco Corp.		X		9/19/01		X								
SP	AOL Time Warner, Inc.		X		9/20/01				X						
SP	Vodafone Group		X		9/24/01				X						
SP	Cisco Systems, Inc.		X		9/25/01			X							
SP	Merck & Co.		X		9/25/01			X							
SP	Marsh & McLennan Cos, Inc.		X		10/4/01		X								
SP	Nokia Corp.		X		10/11/01		X								
SP	Intel Corporation		X		10/19/01		X								
SP	Inhale Therapeutic Systems		X		10/22/01	X									
SP	Qwest Communications Intl, Inc.		X		11/1/01		X								
SP	Nokia Corp.		X		11/7/01			X							
SP	Schwab Charles		X		11/9/01		X								
SP	Estee Lauder Companies, Inc.		X		11/16/01			X							
SP	Veritas Software Corp.		X		11/16/01		X								
SP	Millennium Pharmaceuticals, Inc.		X		11/29/01	X									
SP	Veritas Software Corp.		X		11/29/01		X								
SP	Amgen Inc.		X		12/4/01			X							
SP	Amgen Inc.		X		12/10/01			X							
SP	AMBAC Financial Group, Inc.	X			5/18/01				X						
SP	AMBAC Financial Group, Inc.	X			6/14/01	X									
SP	American Home Products Corp.	X			9/25/01			X							

SCHEDULE H
6/7

JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN 25 YEAR GRANTOR TRUST - MANAGED ACCOUNTS

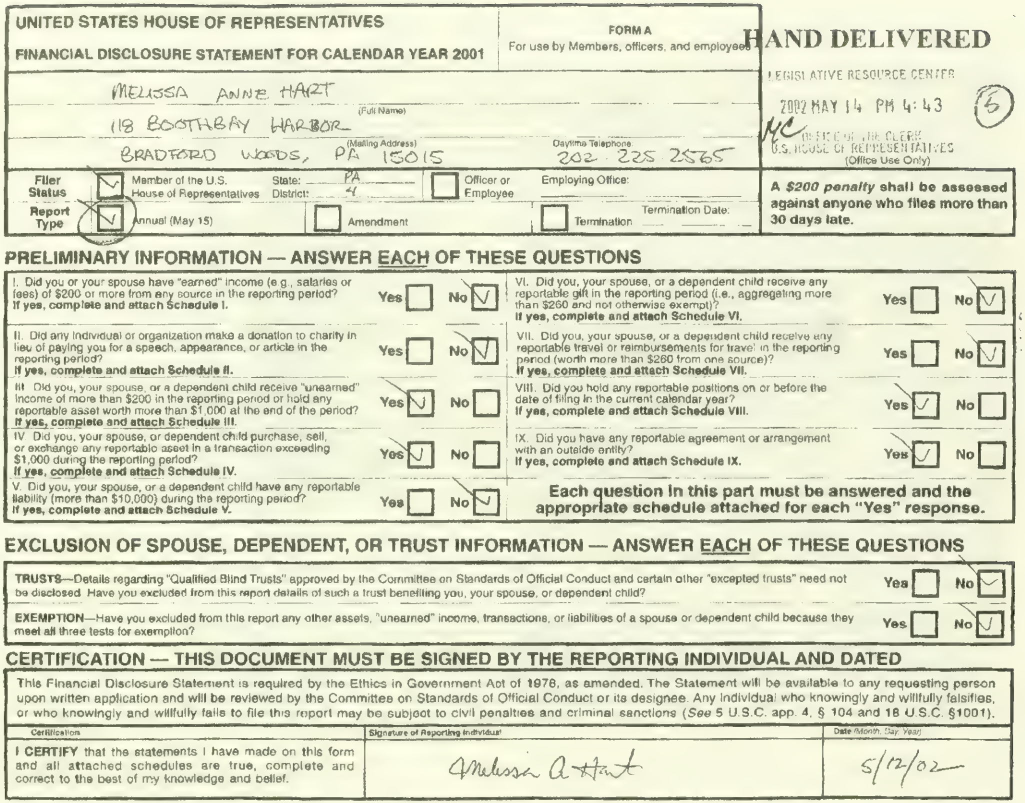
	Asset	Type of Transaction			Date	Amount of Transaction									
		Purchase	Sale	Exchange	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,00	J $25,000,001-$50,000,0	K Over $50,000,000
SP	American Home Products Corp.	X			11/16/01			X							
SP	American International Group	X			1/17/01				X						
SP	American International Group	X			2/14/01			X							
SP	American International Group	X			4/19/01			X							
SP	Anheuser-Bush Companies	X			5/11/01				X						
SP	Anheuser-Bush Companies	X			8/9/01			X							
SP	Anheuser-Bush Companies	X			9/19/01	X									
SP	Automatic Data Processing Inc.	X			4/26/01			X							
SP	Automatic Data Processing Inc	X			7/6/01				X						
SP	Automatic Data Processing Inc.	X			7/6/01	X									
SP	Automatic Data Processing Inc.	X			8/2/01		X								
SP	Check Point Software Technologies	X			7/27/01		X								
SP	Check Point Software Technologies	X			7/30/01		X								
SP	Comcast Corp.	X			4/26/01				X						
SP	Comcast Corp.	X			5/10/01			X							
SP	Comcast Corp.	X			8/2/01			X							
SP	EMC Corp.	X			5/30/01			X							
SP	Estee Lauder Companies, Inc.	X			1/4/01		X								
SP	Federated Invs. Inc.	X			8/9/01			X							
SP	Federated Invs. Inc.	X			8/10/01		X								
SP	Federated Invs. Inc.	X			10/24/01			X							
SP	Federated Invs. Inc.	X			10/25/01			X							
SP	Glaxo Holdings PLC	X			3/27/01			X							
SP	Glaxo Holdings PLC	X			8/22/01			X							
SP	International Flavors & Fragrances	X			11/2/01			X							
SP	Johnson & Johnson	X			3/27/01			X							
SP	Johnson & Johnson	X			3/30/01		X								
SP	Johnson & Johnson	X			10/30/01		X								
SP	Johnson & Johnson	X			11/14/01		X								
SP	Juniper Networks	X			4/4/01	X									

SCHEDULE H

7/7

JANE HARMAN
SCHEDULE IV ATTACHMENT
JANE HARMAN [redacted] YEAR GRANTOR TRUST - MANAGED ACCOUNTS

Asset		Type of Transaction			Date	Amount of Transaction									
		Purchase	Sale	Exchange	(MO/DAY/YR)	B $1,001-$15,000	C $15,001-$50,000	D $50,001-$100,000	E $100,001-$250,000	F $250,001-$500,000	G $500,001-$1,000,000	H $1,000,001-$5,000,000	I $5,000,001-$25,000,000	J $25,000,001-$50,000,000	K Over $50,000,000
SP	Marsh & McLennan Cos, Inc.	X			1/23/01		X								
SP	Marsh & McLennan Cos, Inc.	X			2/14/01		X								
SP	Marsh & McLennan Cos, Inc.	X			3/15/01			X							
SP	Marsh & McLennan Cos, Inc.	X			4/19/01			X							
SP	MBIA, Inc.	X			3/15/01				X						
SP	MBIA, Inc.	X			4/4/01		X								
SP	MBIA, Inc.	X			4/17/01			X							
SP	Merck & Co.	X			2/14/01		X								
SP	Merck & Co.	X			11/16/01	X									
SP	Merck & Co.	X			12/18/01				X						
SP	Microsoft Corp.	X			2/14/01		X								
SP	Millenium Pharmaceuticals	X			2/14/01			X							
SP	Pharmacia Corp.	X			2/14/01				X						
SP	Pharmacia Corp.	X			3/27/01		X								
SP	Pharmacia Corp.	X			6/15/01			X							
SP	Pharmacia Corp.	X			7/26/01	X									
SP	Qualcomm Inc.	X			9/5/01			X							
SP	Siebel Systems, Inc.	X			7/25/01		X								
SP	Siebel Systems, Inc.	X			8/27/01		X								
SP	Sysco Corp.	X			2/14/01			X							
SP	Sysco Corp.	X			7/31/01			X							
SP	Sysco Corp.	X			10/24/01		X								
SP	Teva Pharmaceutical Inds ADR	X			12/18/01		X								
SP	Teva Pharmaceutical Inds ADR	X			12/19/01		X								
SP	United Parcel Service Inc.	X			12/18/01			X							
SP	Veritas Software Corp.	X			7/26/01		X								
SP	Veritas Software Corp.	X			10/4/01		X								
SP	Viacom Inc.	X			8/2/01			X							
SP	Vodafone Group ADR	X			8/22/01			X							



UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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2002 MAY 14 PM 4:43
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

(5)

MELISSA ANNE HART
(Full Name)

118 BOOTHBAY HARBOR
BRADFORD WOODS, PA 15015
(Mailing Address)

Daytime Telephone: 202 225 2565

Filer Status ☑ Member of the U.S. House of Representatives State: PA District: 4 ☐ Officer or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☑	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☑
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Melissa A Hart	5/12/02

Name MELISSA ANNE HART

Page 2 of 5

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	DOLLAR BANK				X											X						X										
	MML EQUITY			X																	X											
	OPP AGGRESSIVE GROWTH			X																	X											
	OPP GLOBAL SECURITIES			X																	X											
	OPP STRATEGIC BOND			X																	X											
	CPA GROUP-EXTENDED MKT FUND			X													X				X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 3 of 5

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	CPA GROUP FUNDS - U.S. TACTICAL ASSET ALLO			X													X				X											
	BAUSCH & LOMB, INC. (STOCK)			X										X			~~X~~						~~X~~									
	CONCUR TECHNOLOGIES, INC.		X		~~X~~									X			~~X~~				X											
	II-VI, INC.			~~X~~	X									X			~~X~~									X						
	MYLAN LABS, INC.	X															X							X								S
	GMAC ZERO CORP. BOND			X												X					X											
	ANSOFT CORP.			X										X											X							
	AT&T CORP.			X										X							X											
	AT&T WIRELESS		X											X							X											
	AVAYA INC		X											X								X										
	GEN. ELECTRIC			X										X												X						
	HJ HEINZ			X										X										X								
	LUCENT TECHNOLOGIES		X											X							X											
	MEDTRONIC			X										X										X								P
	RESPIRONICS INC			X										X												X						
	PAINEWEBBER MONEY FUND			X												X						X										
	PA ST. SER 2RF NON-TAX MUNI BOND			X												X					X											

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name MELISSA ANNE HART

Page 4 of 5

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction: PURCHASE	SALE	EXCHANGE	Date (MO/DAY/YR)	Amount of Transaction: B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	MYLAN LABORATORIES STOCK		X		5/29/01	X									
	MEDTRONIC INC STOCK	X			5/29/01	X									

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Name MELISSA ANNE HART Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
TRUSTEE UNCOMPENSATED (NON PROFIT)	WASHINGTON & JEFFERSON COLLEGE
TRUSTEE UNCOMPENSATED (NON PROFIT)	UNIVERSITY OF PITTSBURGH
TRUSTEE UNCOMPENSATED NON PROFIT	COMMUNITY COLLEGE OF ALLEGHENY COUNTY
DIRECTOR UNCOMPENSATED NON PROFIT	VIETNAM VETERANS LEADERSHIP PROGRAM
DIRECTOR UNCOMPENSATED NON PROFIT	PITTSBURGH FILM OFFICE
	~~[illegible]~~

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
5/12/02	HERGENROEDER & HEIGHTS, P.C. (SINCE 1987)	INTEREST IN EMPLOYEE RETIREMENT PLAN

GPO: 2002 77-791 (mso)

Use additional sheets if more space is required.

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June 5, 2002

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MC

To Whom it may concern:

My recently filed financial statement omitted several holdings which must be included in the disclosure. Please add the following to the disclosure of May 2002.

1. PA SERS retirement fund
   Value Category: 1,001-15000
   Income Category: None

2. Hergenroeder and Heights Pension Plan
   Value Category: 15,000-50,000
   Income Category: None

It also excluded a reportable transaction as follows:
Borders Group Stock: Sold
Value Category: 1,000-15,000

Please include this in the above-referenced disclosure.
Thank you.

Melissa Hart

Melissa Hart
Member of Congress

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

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2002 JUN 13 AM 9:22

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(Office Use Only)

MELISSA A. HART
(Full Name)

118 BOOTHBAY HARBOR
BRADFORD WOODS, PA 15015
(Mailing Address)

Daytime Telephone: (202) 225-2565

Filer Status	☒ Member of the U.S. House of Representatives — State: PA District: 4	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☒ Amendment	☐ Termination — Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☐	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☐

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Melissa A. Hart	6/6/02

AMENDMENT 6/4/02

Name MELISSA HART

Page ___ of ___

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10 12–01		X								
	BORDERS GROUP COMMON STOCK		X		8/15/01	X									

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AMENDMENT 6/6/02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name MELISSA HART

Page ___ of ___

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
	Simon & Schuster		Indefinite																	Royalties									X			
	1st Bank of Paducah, KY accounts						X									X										X						
	PASERS ret fund			X																	X											
	Hergenroeder & Heights Pension Plan				X																X											

For additional assets and unearned income, use next page.

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U.S. HOUSE OF REPRESENTATIVES
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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

J. Dennis Hastert
(Full Name)

H-232 The Capitol
Washington, D.C. 20515
(Mailing Address)

Daytime Telephone: 202·225·0600

(Office Use Only)

Filer Status	☒ Member of the U.S. House of Representatives — State: IL District: 14	☐ Officer or Employee — Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Dennis Hastert	5-15-02

Name J. DENNIS HASTERT

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$6,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
State of Illinois, Yorkville School District #115	spouse salary/pension	NA
State of Illinois Pension Fund (former State Legislator)	legislative pension	$27,625

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name J. DENNIS HASTERT Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,		SP	Mega Corp. Stock					X								X										X								P
DC,	Examples:		Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
JT			Yorkville National Bank																															
			Personal Account			X												X						X										
			Farm Account			X												X						X										
			Congressional Federal Credit Union			X																	X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (If needed)

Name J. Dennis Hastert

Page 4 of 6

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Opera House Property						X								X	X									X		X					
																									(NET)		(Gross)					
JT	Townhouse Property Washington, D.C						X								X										X							
	Northwestern Mutual Life IRA			X										X		X	X				X											
SP	Northwestern Mutual Life IRA			X										X		X	X				X											
	Tollgate Properties					X															X											
JT	Bear Stearns Mutual Fund					X															X											
	AG Edwards Money Market						X							X											X							
JT	Devine Interventures		X																		X											

This page may be copied if more space is required.

Name J. Dennis Hastert | Page 5 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	First Midwest Bank, Joliet, IL	75% Interest by Opera House Property			X							
	Yorkville National Bank	Cosign restaurant loan with Relative				X						
	Yorkville National Bank	Cosign Loan with Relative		X								
	BB+T, North Carolina	Mortgage D.C Townhouse			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
None		

Use additional sheets if more space is required.

Name J. DENNIS HASTERT | Page 6 of 6

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
75% Partner	Opera House
50% Partner	Tollgate Property

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (msc)

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
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THE HONORABLE ALCEE L. HASTINGS
(Full Name)

2235 Rayburn House Office Building
Washington, D.C. 20515
(Mailing Address)

Daytime Telephone: (202) 225-1313

Filer Status	☒ Member of the U.S. House of Representatives — State: FL District: 23	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Alcee L. Hastings	May 14, 02

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name THE HONORABLE ALCEE L. HASTINGS

Page 2 of 5

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

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If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Block A	B: None	B: A $1 – $1,000	B: B ...	B: C $1,001 – $15,000	B: D $15,001 – $50,000	B: E $50,001 – $100,000	B: F $100,001 – $250,000	B: G $250,001 – $500,000	B: H $500,001 – $1,000,000	B: I $1,000,001 – $5,000,000	B: J $5,000,001 – $25,000,000	B: K $25,000,001 – $50,000,000	B: L Over $50,000,000	C: DIVIDENDS	C: RENT	C: INTEREST	C: CAPITAL GAINS	C: EXCEPTED TRUST	C: QUALIFIED BLIND TRUST	C: Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	D: None	D: I $1 – $200	D: II $201 – $1,000	D: III $1,001 – $2,500	D: IV $2,501 – $5,000	D: V $5,001 – $15,000	D: VI $15,001 – $50,000	D: VII $50,001 – $100,000	D: VIII $100,001 – $1,000,000	D: IX $1,000,001 – $5,000,000	D: X Over $5,000,000	E: P, S, E
SP	Examples:	Mega Corp. Stock						X								X										X								P
DC		Simon & Schuster		Indefinite																		Royalties									X			
JT		1st Bank of Paducah, KY accounts							X									X										X						
		Bank of America (FL)	X																				X											N/A
		Wright Pattman Credit Union				X												X					X											N/A
		~~8528 Longacre Drive (Miramar, FL)~~								X												Mortgage	X											N/A
		~~5010 SW 151st Terrace (Miramar, FL)~~							X													Mortgage	X											N/A

For additional assets and unearned income, use next page.

SCHEDULE IV — TRANSACTIONS

Name THE HONORABLE ALCEE L. HASTINGS **Page** 3 **of** 5

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	1055 N.W. 183rd Street, Miami, FL		X					X							

This page may be copied if more space is required.

Name THE HONORABLE ALCEE L. HASTINGS | Page 4 of 5

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor *at any time* during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	Robert Catz	Legal Fees						X				
	Terrance Anderson	Legal Fees							X			
	Patricia Williams	Legal Fees						X				
	Karr & McClan	Legal Fees				X						
	Mark McDonald	Legal Fees		X								
	Lewis Meyers	Legal Fees		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source		Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name THE HONORABLE ALCEE L. HASTINGS **Page** 5 **of** 5

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Connell Industries	April 27-28	Wash.,D.C.-New Jersey-Wash,DC	Y	Y	N	NO
	Peoria N.A.A.C.P.	Nov. 29-30	Wash,DC-Chicago-Wash,DC	Y	Y	Y (lodging and food for daughter)	NO
	Dayton Urban League	May 7-8	Miami-Dayton-Wash,DC	Y	Y	N	NO

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

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✓ MC

THE HONORABLE ALCEE L. HASTINGS
(Full Name)

2235 Rayburn House Office Building

Washington, D.C. 20515
(Mailing Address)

Daytime Telephone: (202) 225-1313

Filer Status	☒ Member of the U.S. House of Representatives	State: FL District: 23	☐ Officer or Employee — Employing Office:
Report Type	☐ Annual (May 15)	☒ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☐
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☐
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☐

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☐
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☐

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Alcee L. Hastings	5/14/02

Name THE HONORABLE ALCEE L. HASTINGS Page 2 of 2

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
Connell Industries	Speech	April 27, 2001	$2,000

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Doc Hastings (Full Name)

P.O. Box K Pasco, WA 99302 (Mailing Address)

Daytime Telephone: 202-225-581

Filer Status	☒ Member of the U.S. House of Representatives State: WA District: 04	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		13 MAY 02

Name DOC HASTINGS Page 2 of 4

SCHEDULE III — ASSETS AND “UNEARNED” INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

				A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	RETIREMENT PLAN Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,		SP	Mega Corp. Stock					X								X										X								P
DC,	Examples:		Simon & Schuster		Indefinite																	Royalties									X			
JT			1st Bank of Paducah, KY accounts						X									X										X						
JT			COLUMBIA BASIN PAPER + SUPPLY																															
			TRUST - PETERSEN/HASTING							X												X	X											
JT			YAKIMA FEDERAL - DEPOSIT				X											X							X									
JT			1ST VIRGINIA - DEPOSIT			X												X						X										
JT			CHAS SCHWAB - IRA				X									X							X											
			INST SELECT			X										X							X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Doc HASTINGS **Page** 3 of 4.

SP, DC, JT	BLOCK A **Asset and/or Income Source**	BLOCK B **Year-End Value of Asset** A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	BLOCK C **Type of Income** DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	BLOCK D **Amount of Income** I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	BLOCK E **Transaction** P, S, E
	MATHEWS/PACIFIC TIGER			X										X							X											
	SCHWAB INTL			X										X							X											
	SCHWAB SM CAP			X										X							X											
JT	VANGUARD GROUP			X										X							X											
	TOTAL INTL INDEX			X										X							X											
	TOTAL ST MKT INDEX			X										X							X											

This page may be copied if more space is required.

Name Doc Hastings | Page 4 of 4

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
Exchange/Monitor Publications		Oct 21-22	Greensboro, N.C — Jacksonville, FLA — Wash D.C.	Y	Y	N	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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(Office Use Only)

ROBERT CANNON HAYES (Full Name)

PO BOX 2000 (Mailing Address)

CONCORD NC 28026

Daytime Telephone: (704)795-2000

Filer Status	☒ Member of the U.S. House of Representatives State: NC District: 8	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐ No ☒	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Robert C. "Robin" Hayes	5/20/02

Name ROBERT CANNON HAYES

Page 2 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT		Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	SP	Mega Corp. Stock					X								X										X								P
DC,	Examples:	Simon & Schuster		Indefinite																	Royalties									X			
JT		1st Bank of Paducah, KY accounts						X									X										X						
		BERKSHIRE HATHWAY B; STOCK			X																	X											
		SOLECTRON CP; STOCK			X																	X											
		EMC CORP MASS; STOCK			X																	X											
		GENUITY INC CLA; STOCK		X																		X											
		INTEL CORP; STOCK			X																		X										
		JDS UNIPHASE CORP; STOCK			X																	X											P

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ROBERT CANNON HAYES

Page 3 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 – $1,000	$1,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $250,000	$250,001 – $500,000	$500,001 – $1,000,000	$1,000,001 – $5,000,000	$5,000,001 – $25,000,000	$25,000,001 – $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 – $200	$201 – $1,000	$1,001 – $2,500	$2,501 – $5,000	$5,001 – $15,000	$15,001 – $50,000	$50,001 – $100,000	$100,001 – $1,000,000	$1,000,001 – $5,000,000	Over $5,000,000	
	MOTOROLA INC; STOCK			X																		X										
	ORACLE CORP; STOCK			X																	X											P
	VIGNETTE CORP; STOCK		X																		X											
SP	ACTIVE ASSETS MONEY TRUST; MM			X																		X										
SP	AMERICAN EXPRESS; STOCK			X																		X										P
SP	BB&T CORP; STOCK				X																		X									
SP	CONOCO INC; STOCK				X																		X									
SP	CORNING INC; STOCK			X																	X											P
SP	FANNIE MAE; STOCK				X																		X									
SP	INTEL CORP; STOCK			X																		X										P
SP	LANCER CP; STOCK			X																	X											
SP	SYMBOL TECH; STOCK			X																	X											P
	SUNOCO INC; STOCK			X																			X									
	RICHFIELD PROPERTY; CLUP ROAD RICHFIELD , NC 28137						X														X											
	WISCONSIN PROPERTY, CLINE ROAD BREED, WI				X																X											
	MT. PLEASANT HOSIERY MILL BLDG. 1467 N MAIN ST., MT. PLEASANT, NC						X								X											X (GROSS)						
	CRESTSIDE PROPERTY CONCORD, NC 28025	X															X									X (NET)						S
	AIRPLANE; CONCORD, NC									X					X						X	(NET)						X (GROSS)				
	MT. PLEASANT HOSIERY, INC.;STOCK MT. PLEASANT, NC							X													X											
	LEMMON/ROSINSKI I, LP			X												X						X										
	FIRST CHARTER NATL BANK; CD'S					X										X									X							
SP	FIRST CHARTER NATL BANK; CD				X											X								X								

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name ROBERT CANNON HAYES

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
JT	FIRST CLEARING CORP; ACCOUNTS							X								X											X					
SP	FIRST CLEARING CORP; MM					X								X											X							
	TRUST CA CANNON DTD 12-5-51 (SEE SCHEDULE III, ATT. A)									X				X		X												X				
	TRUST CA CANNON DTD 5-12-53 (SEE SCH III, ATT.B)										X			X		X										X						
	TRUST CA CANNON (332) TRUST (SEE SCH III, ATT.C)											X		X		X				INCOME FROM PARTNERSHIP									X			
	ARCTIC SOUTHERN FARMS, LLC	X	(LAND OWNED BY TRUST)												X										X							
	LOAN TO FRANK SELLERS, CONCORD, NC						X									X	(SALE OF PERSONAL RESIDENCE-FINANCING)									X						
	LOAN TO KEVIN SIMPSON CONCORD, NC					X		(SALE OF REAL ESTATE - FINANCING)													X	(NO INTEREST DUE IN 2001)										
	CMGI INC; STOCK	X																			X	(CAPITAL LOSS)										S
	DIGITAS INC; STOCK	X																			X	(CAPITAL LOSS)										S
	RSL COMMUNICATIONS; STOCK	X																			X	(CAPITAL LOSS)										S
	VIASYSTEMS; STOCK	X																			X	(CAPITAL LOSS)										S
	J. CLARY PHILLIPS	X	(SUB-LEASE)																						X							

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SCHEDULE IV — TRANSACTIONS

Name ROBERT CANNON HAYES

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10-12-01		X								
	CMGI INC. STOCK		X		5-31-01	LESS THAN $1,000									
	DIGITAS INC STOCK		X		5-31-01	LESS THAN $1,000									
	RSL COMMUNICATIONS STOCK		X		5-31-01	LESS THAN $1,000									
	VIA SYSTEMS STOCK		X		5-31-01	LESS THAN $1,000									
	JDS UNIPHASE STOCK	X			5-31-01	X									
	ORACLE STOCK	X			5-31-01	X									
SP	AMERICAN EXPRESS CO. STOCK	X			9-21-01	X									
SP	CORNING INC STOCK	X			9-17-01	X									
SP	INTEL CORP. STOCK	X			9-21-01	X									
SP	SYMBOL TECH. STOCK	X			9-21-01	X									
	REAL ESTATE; CONCORD, NC		X		3-23-01			X							

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Name ROBERT CANNON HAYES

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SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT		Creditor	Type of Liability	Amount of Liability									
				[illegible]	C $15,001– $50,000	[illegible]	E $100,001– $250,000	F [illegible]	G $500,001– $1,000,000	H $1,000,001– $5,000,000	I $5,000,001– $25,000,000	J $25,000,001– $50,000,000	K Over $50,000,000
	Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
		WACHOVIA BANK; ATLANTA, GA	COMMERICAL LOAN - AIRPLANE							X			
		FIRST UNION NATIONAL BANK; ATLANTA, GA	COMMERICAL LOAN				X						
		FIRST UNION NATIONAL BANK; CHARLOTTE, NC	COMMERCIAL LOAN - BUILDING	[illegible]	D OF	[illegible]	000)						

SCHEDULE VI — GIFTS

NONE

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

	Source	Description	Value
Example:	Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name ROBERT CANNON HAYES

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SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time *not* at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
THE ASPEN INSTITUTE		MAR 9-11	WASHINGTON, DC WHITE SULPHER SPRING, WV CONCORD, NC	Y	Y	Y	N
CONGRESSIONAL SPORTSMEN'S FOUNDATION		MAR 16-17	WASHINGTON, DC - OCSEOLA, IA - WASHINGTON, DC	Y	Y	N	N
FAITH AND POLITICS INSTITUTE		OCT 12-14	WASHINGTON, DC - BARDSTOWN, KY - CONCORD, NC	Y	Y	Y	N

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Name ROBERT CANNON HAYES	**Page** 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
MEMBER	ARCTIC SOUTHERN FARMS, LLCC
PRESIDENT, DIRECTOR	MOUNT PLEASANT HOSIERY MILL, INC.
LIMITED PARTNER	LEMMON/ ROSINSKI I, LP

SCHEDULE IX — AGREEMENTS - NONE

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 72-791 (mac)

Use additional sheets if more space is required.

May 14, 2002

To Whom It May Concern:

Mr. Hayes earns a fraction of the income generated from these trusts. Securities and other assets held in these trusts are for the benefit of future owners, not Mr. Hayes.

SCH. III, ATT.A

ROBERT CANNON HAYES
TRUST - CA CANNON
DTD 12-5-51
PAGE 1 OF 3

SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE W/R C HAYES & W C CANNON
JR U/IR/A WITH C A CANNON DTD
12-5-51 #89

PAGE 4

ACCT 1019854809

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		CASH & EQUIVALENTS									
		PRINCIPAL CASH				0.0		0.00	0.00	0.00	0
		INCOME CASH				0.0		0.00	0.00	0.00	0
		TOTAL CASH			0	0.0		0.00	0.00	0.00	0
		TEMPORARY INVESTMENTS									
		EVERGREEN SELECT MONEY MKT TR MUNICIPAL MONEY MARKET FUND CL I (FD #496)			1,244	1.8		68,353.35	68,353.35	2.45	0
		TOTAL CASH & EQUIVALENTS			1,244	1.8		68,353.35	68,353.35	2.45	0
		FIXED INCOME									
		MUNICIPALS									
50,000		DURHAM CNTY NC BD DTD 2/1/92 BEO UT (C 2/1/2002 @ 102) 5.75% 02/01/2002-2002	Aaa	01/14/1992	2,875	5.6	102.32	49,787.05	51,159.50	1.83	1,372
100,000		DURHAM CNTY NC BD DTD 2/1/92 BOOK ENTRY (CALL 2/1/2002 @ 102) 5.75% 02/01/2002-2002	Aaa	06/16/1992	5,750	5.6	102.32	95,989.30	102,319.00	3.66	6,330
100,000		ORANGE CNTY N C BD DTD 6/1/93 RFDG BOOK ENTRY ONLY (CALL 6/1/2003 @100.050) 5.1% 06/01/2004-2003	Aa1	05/19/1993	5,100	4.9	103.51	100,000.00	103,506.00	3.70	3,506
100,000		GREENSBORO N C BD DTD 6/1/93 RFDG BOOK ENTRY ONLY UT (CALL 5/1/2003 @101) 5.1% 05/01/2005-2003	Aa1	06/02/1993	5,100	4.9	103.31	99,589.75	103,307.00	3.70	3,717
50,000		DURHAM PUB IMPT- RFDG BOND DTD 2/1/92 BOOK ENTRY ONLY UT (CALL 2/1/2002 @ 102) 5.75% 02/01/2008-2002	Aaa	07/21/1992	2,875	5.6	102.11	50,000.00	51,056.00	1.83	1,056
100,000		NORTH CAROLINA ST BD DTD 3/1/97 SER A BEO (C 3/1/2007 @101) 5.2% 03/01/2009-2007	Aaa	03/05/1997	5,200	4.9	105.08	100,575.71	105,081.00	3.76	4,505

ROBERT CANNON HAYES
TRUST - CA CANNON
DTD 12-5-51
PAGE 2 OF 3

SCH. III, ATT.A

SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE W/R C HAYES & W C CANNON
JR U/IR/A WITH C A CANNON DTD
12-5-51 #89

PAGE 5

ACCT 1019854809

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
100,000		STANLY CNTY NC ND DTD 2/1/2001 (C 2/1/2011 @100.5) 4.6% 02/01/2012-2011	Aaa	01/23/01	4,600	4.6	99.63	102,136.07	99,632.00	3.57	2,504-
50,000		CHARLOTTE NC BD DTD 8/1/98 OID PUB IMPT SER A (C 2/1/2008 @ 102) 4.75% 02/01/2013-2008	Aaa	07/14/1998	2,375	4.7	100.99	49,529.60	50,494.50	1.81	965
100,000		NEW HANOVER CNTY NC HOSP REV BD DTD 2/15/99 OID NEW HANOVER REGL MED CTR PJ (C 10/1/2009 @ 101) 4.75% 10/01/2014-2009	Aaa	02/19/1999	4,750	4.8	98.18	99,321.96	98,180.00	3.51	1,142-
100,000		ORANGE CNTY N C BD DTD 4/1/2000 PUB IMPT (C 4/1/2010 @102) 5.3% 04/01/2015-2010	Aa1	04/04/00	5,300	5.1	104.31	100,000.00	104,312.00	3.73	4,312
50,000		NORTH CAROLINA ST BD DTD 03/01/2001 REV 5% 03/01/2018-2011	Aaa	03/07/01	2,500	5.0	99.32	50,339.00	49,660.00	1.78	679-
		TOTAL MUNICIPALS			46,425	5.1		897,268.52	918,707.00	32.88	21,430
		EQUITIES --------									
		COMMON STOCKS -------------									
		MATERIALS ---------									
3,600		DU PONT E I DE NEMOURS & CO COM		01/20/1988	5,040	3.3	42.51	47,592.00	153,036.00	5.48	105,444
		CONSUMER STAPLES ----------------									
6,000		PHILIP MORRIS COS INC COM		01/20/1988	13,920	5.1	45.85	41,915.00	275,100.00	9.85	233,185
		CONSUMER DISCRETIONARY ----------------------									
1,000		HOME DEPOT INC COM		01/18/01	200	0.4	51.01	44,935.00	51,010.00	1.83	6,075
		INFORMATION TECHNOLOGY ----------------------									
1,300		CISCO SYS INC COM W/RIGHTS ATTACHED EXPIRING 6/10/2008		09/24/01	0	0.0	18.11	16,917.03	23,543.00	0.84	6,626
700		E M C CORP MASS COM		09/24/01	0	0.0	13.44	8,953.00	9,408.00	0.34	455

SCH. III, ATT. A

ROBERT CANNON HAYES
TRUST - CA CANNON
DTD 12-5-51
PAGE 3 OF 3

SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE W/R C HAYES & W C CANNON
JR U/IR/A WITH C A CANNON DTD
12-5-51 #89

PAGE 6

ACCT 1019854809

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		TOTAL INFORMATION TECHNOLOGY			0	0.0		25,870.03	32,951.00	1.18	7,081
		ENERGY ------									
1,078		CHEVRONTEXACO CORP COM		03/09/1992	3,018	3.1	89.61	39,963.00	96,599.58	3.46	86,637
3,168		EXXON MOBIL CORP COM		09/22/1993	2,915	2.3	39.30	46,323.74	124,502.40	4.46	78,179
3,200		ROYAL DUTCH PETE CO NY REGISTRY SH PAR N GLDR 1.25		01/20/1988	3,837	2.4	49.02	43,732.00	156,064.00	5.61	113,132
		TOTAL ENERGY			9,770	2.6		130,018.74	377,965.98	13.53	247,947
		UTILITIES ---------									
4,000		DUKE POWER CO COM W/RIGHTS ATTACHED EXPIRING 12/16/2008		01/20/1988	4,400	2.8	39.26	45,195.00	157,040.00	5.62	111,845
		FINANCIALS ----------									
6,500		AMERICAN INTL GRP INC COM		02/05/1985	1,092	0.2	79.40	21,392.33	516,100.00	18.47	494,708
2,400		FANNIE MAE COM		09/22/1993	2,880	1.5	79.50	47,079.00	190,800.00	6.83	143,721
6,100		HRPT PROPERTIES TRUST COM SH BEN INT		01/18/01	4,880	9.2	8.66	50,691.00	52,826.00	1.89	2,135
		TOTAL FINANCIALS			8,852	1.2		119,162.33	759,726.00	27.19	640,564
		TOTAL COMMON STOCKS			42,182	2.3		454,688.10	1,806,828.98	64.67	1,352,141
		TOTAL FUND			89,851	3.2		1,420,309.97	2,793,089.33	100.00	1,373,579

ROBERT CANNON HAYES
TRUST - CA CANNON
DTD 5-12-53
PAGE 1 OF 4

SCH. III, ATT. B

SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE WITH WINSLON A HAYES &
W C CANNON JR I/IR/A WITH
CA CANNON DTD 5-12-53 #108

PAGE 5

ACCT 1019854916

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		CASH & EQUIVALENTS									
		PRINCIPAL CASH				0.0		0.00	0.00	0.00	0
		INCOME CASH				0.0		600.00	600.00	0.00	0
		TOTAL CASH			0	0.0		600.00	600.00	0.00	0
		TEMPORARY INVESTMENTS									
		EVERGREEN SELECT MONEY MKT TR MUNICIPAL MONEY MARKET FUND CL I (FD #496)			6,109	1.8		335,647.72	335,647.72	2.33	0
		TOTAL CASH & EQUIVALENTS			6,109	1.8		336,247.72	336,247.72	2.34	0
		EQUITIES									
		COMMON STOCKS									
		INDUSTRIALS									
38,400		GENERAL ELEC CO COM		05/19/1961	27,648	1.8	40.08	25,839.69	1,539,072.00	10.70	1,513,232
480		IMAGISTICS INTL INC-WI COM		10/26/1984	0	0.0	12.35	550.13	5,928.00	0.04	5,378
6,000		PITNEY-BOWES INC COM W/RTS ATTACHED EXP 02/20/2006		10/26/1984	6,960	3.1	37.61	23,899.87	225,660.00	1.57	201,760
		TOTAL INDUSTRIALS			34,608	2.0		50,289.69	1,770,660.00	12.31	1,720,370
		CONSUMER STAPLES									
6,000		NESTLE S A SPONSORED ADR REPSTG REG SH		03/09/1992	4,080	1.3	53.30	93,750.00	319,824.00	2.22	226,074
24,000		PHILIP MORRIS COS INC COM		08/05/1985	55,680	5.1	45.85	83,975.00	1,100,400.00	7.65	1,016,425
12,900		SARA LEE CORP RTS EXP 05/31/2008		12/15/1987	7,740	2.7	22.23	56,147.25	286,767.00	1.99	230,620

ROBERT CANNON HAYES
TRUST - CA CANNON
DTD 5-12-53
PAGE 2 OF 4

SCH. III, ATT. B

SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE WITH WINSLOW A HAYES &
W C CANNON JR I/IR/A WITH
CA CANNON DTD 5-12-53 #108

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ACCT 1019854916

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		TOTAL CONSUMER STAPLES			67,600	4.0		233,872.25	1,706,991.00	11.87	1,473,119
		CONSUMER DISCRETIONARY									
17,481		FORD MTR CO DEL COM		04/05/1984	10,489	3.8	15.72	42,976.28	274,801.32	1.91	231,825
2,000		HOME DEPOT INC COM		01/18/01	400	0.4	51.01	89,870.00	102,020.00	0.71	12,150
18,000		MCDONALDS CORP COM		08/05/1985	4,050	0.9	26.47	66,350.00	476,460.00	3.31	410,110
8,309		VISTEON CORP COM		01/18/01	1,994	1.6	15.04	101,490.17	124,967.36	0.87	23,477
		TOTAL CONSUMER DISCRETIONARY			16,933	1.7		300,686.45	978,248.68	6.80	677,562
		INFORMATION TECHNOLOGY									
2,600		CISCO SYS INC COM W/RIGHTS ATTACHED EXPIRING 6/10/2008		09/24/01	0	0.0	18.11	33,722.00	47,086.00	0.33	13,364
1,400		E M C CORP MASS COM		09/24/01	0	0.0	13.44	17,934.00	18,816.00	0.13	882
3,200		INTEL CORP COM		09/24/01	256	0.3	31.45	67,520.00	100,640.00	0.70	33,120
		TOTAL INFORMATION TECHNOLOGY			256	0.2		119,176.00	166,542.00	1.16	47,366
		HEALTH CARE									
10,400		BRISTOL-MYERS SQUIBB CO COM		05/06/1982	11,648	2.2	51.00	36,316.87	530,400.00	3.69	494,083
14,000		MERCK & CO INC COM		02/05/1985	19,600	2.4	58.80	37,858.33	823,200.00	5.72	785,342
29,000		PFIZER INC RTS EXP 10/15/2007		05/06/1982	15,080	1.3	39.85	34,941.27	1,155,650.00	8.04	1,120,709
1,040		ZIMMER HLDGS INC COM		05/06/1982	0	0.0	30.54	1,840.04	31,761.60	0.22	29,922
		TOTAL HEALTH CARE			46,328	1.8		110,956.51	2,541,011.60	17.67	2,430,055
		ENERGY									
9,600		ROYAL DUTCH PETE CO NY REGISTRY SH PAR N GLDR 1.25		03/22/1988	11,510	2.4	49.02	117,458.00	470,592.00	3.27	353,134
		FINANCIALS									
14,236		AMERICAN INTL GRP INC COM		02/05/1985	2,392	0.2	79.40	46,852.49	1,130,338.40	7.86	1,083,486
3,843		CITIGROUP INC COM		04/05/1984	2,460	1.3	50.48	22,619.72	193,994.64	1.35	171,375
1,500		JEFFERSON-PILOT CORP COM W/RIGHTS ATTACHED EXP 3/8/2009		08/04/1993	1,650	2.4	46.27	22,817.78	69,405.00	0.48	46,587

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SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE WITH WINSLOW A HAYES &
W C CANNON JR I/IR/A WITH
CA CANNON DTD 5-12-53 #108

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ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		TOTAL FINANCIALS			6,502	0.5		92,289.99	1,393,738.04	9.69	1,301,448
		TOTAL COMMON STOCKS			183,637	2.0		1,024,728.89	9,027,783.33	62.78	8,003,054
		OTHER ASSETS & LIABILITIES									
		CONTRACT AND NOTES - UNSECURED									
		PROMISSORY NT DTD 10/9/99 FROM ROBERT C HAYES SECD BY LIFE INS CONN INS CO POL #2452341H 6% 10/09/1999			128,994	6.0		2,149,891.81	2,149,891.81	14.95	0
		REAL ESTATE									
1		CABIN ON 13,075+- ACRES, LAKE COUNTY, MINNESOTA		09/05/1990	0	0.0	18,610.89	18,610.89	18,610.89	0.13	0
1		40+- ACRES INCL 2 CABINS SE 1/4 OF SE 1/4, SECTION 7, TWP. 59 N., RANGE 10 WEST, LAKE CO., MN.		09/05/1990	600	2.8	21,634.50	22,351.03	21,634.50	0.15	717-
1		TIMBER LOCATED ON 13,075+- ACRES LAKE COUNTY MINNESOTA		02/27/1989	0	0.0	736,703.47	304,445.37	736,703.47	5.12	432,258
1		5 ACRES & HOUSE, 1975 HWY 73 EAST, CONCORD, NC CABARRUS CNTY (SFD-IP)		08/21/1995	7,200	5.3	136,000.00	126,909.29	136,000.00	0.95	9,091
1		HOUSE & LOT, 49 BRAYS ISLAND, SHELDON, SC 29941		03/01/1999	36,000	3.0	1,185,625.00	151,752.50	1,185,625.00	8.24	1,033,873
1		13,022.90 +/- ACRES TIMBERLAND LAKE COUNTY, MINNESOTA		02/27/1989	0	0.0	768,500.00	393,395.38	768,500.00	5.34	375,106
		TOTAL REAL ESTATE			43,800	1.5		1,017,464.46	2,867,073.86	19.94	1,849,609
		LIABILITIES									
		LIAB:SPECIAL FACILITIES CHARGE AGREEMENT AND PROM NOTE RELATED TO THE SAND LAKE LINE-EXTENSION CONSTRUCTION LAKE CO MN			0	0.0		1.00-	1.00-	0.00-	0

SCH. III, ATT. B

SCHEDULE OF INVESTMENTS

ROBERT C HAYES TRUST
FIRST UNION NATIONAL BANK
CO-TTEE WITH WINSLOW A HAYES &
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ASSETS HELD 12/31/01
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SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		ASSIGNMENT OF INCOME DTD 10/9/99 RE:PROMISSORY NT HELD IN THS ACCT			0	0.0		1.00-	1.00-	0.00-	0
		TOTAL LIABILITIES			0	0.0		2.00-	2.00-	0.00-	0
		TOTAL OTHER ASSETS & LIABILITIES			172,794	3.4		3,167,354.27	5,016,963.67	34.89	1,849,609
		TOTAL FUND			362,540	2.5		4,528,330.88	14,380,994.71	100.00	9,852,664

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ROBERT CANNON HAYES
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C A CANNON (322) TRUST
FIRST UNION NATIONAL BANK
CO-TTEE W/ G A BATTE JR, R C
HAYES, HARRIET C CRAWFORD & W C
CANNON, JR FBO ROBERT C HAYES

ACCT 1013731712

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		CASH & EQUIVALENTS									
		PRINCIPAL CASH				0.0		0.00	0.00	0.00	0
		INCOME CASH				0.0		0.00	0.00	0.00	0
		TOTAL CASH			0	0.0		0.00	0.00	0.00	0
		TEMPORARY INVESTMENTS									
		EVERGREEN SELECT MONEY MKT TR MUNICIPAL MONEY MARKET FUND CL I (FD #496)			16,244	1.8		892,541.52	892,541.52	2.16	0
		TOTAL CASH & EQUIVALENTS			16,244	1.8		892,541.52	892,541.52	2.16	0
		FIXED INCOME									
		MUNICIPALS									
400,000		DURHAM CNTY NC BD DTD 2/1/92 BEO UT (C 2/1/2002 @ 102) 5.75% 02/01/2002-2002	Aaa	01/14/1992	23,000	5.6	102.32	390,096.00	409,276.00	0.99	11,180
600,000		NORTH CAROLINA ST CAP IMPT BD DTD 10/1/91 BEO REOP @98.829 TO YLD 5.75% N/C 5.6% 04/01/2002	Aaa	09/25/1991	33,600	5.5	100.92	591,774.00	605,490.00	1.47	13,716
100,000		CHARLOTTE NC RFDG BD DTD 8/15/92 BEO UT N/C 5.2% 07/01/2002	Aaa	08/26/1992	5,200	5.1	101.73	98,998.33	101,731.00	0.25	2,733
100,000		NORTH CAROLINA ST CLEAN WTR BD DTD 10/1/94 SER A BEO UT (C 6/1/2004 @ 101) 5.75% 06/01/2004-2004	Aaa	12/07/1994	5,750	5.3	107.51	97,949.34	107,513.00	0.26	9,564
400,000		ORANGE CNTY N C BD DTD 6/1/93 RFDG BOOK ENTRY ONLY (CALL 6/1/2003 @100.050) 5.1% 06/01/2004-2003	Aa1	10/03/1996	20,400	4.9	103.51	401,185.39	414,024.00	1.00	12,839
100,000		DURHAM PUB IMPT- PUB IMPT BD DTD 2/1/92 BK ENTRY ONLY UT (CALL 2/1/2002 @ 101.5) 5.9% 02/01/2005-2002	Aaa	01/29/1992	5,900	5.8	101.69	99,750.00	101,687.00	0.25	1,937

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SCHEDULE OF INVESTMENTS

C A CANNON (322) TRUST
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CANNON, JR FBO ROBERT C HAYES

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ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
200,000		DURHAM CNTY NC RFDG BOND DTD 9/1/92 BOOK ENTRY ONLY UT (CALL 3/1/2002 @ 101.5) 5.2% 03/01/2005-2002	Aaa	11/18/1999	10,400	5.1	101.83	200,570.34	203,660.00	0.49	3,090
100,000		GREENSBORO N C BD DTD 6/1/93 RFDG BOOK ENTRY ONLY UT (CALL 5/1/2003 @101) 5.1% 05/01/2005-2003	Aa1	06/02/1993	5,100	4.9	103.31	99,589.75	103,307.00	0.25	3,717
50,000		CATAWBA CNTY SCHOOL & COMMUNITY COLL BD DTD 6/1/94 BEO UT (C 6/1/2004 @ 100.5) 5.7% 06/01/2005-2004	Aa2	10/03/1996	2,850	5.4	105.90	51,208.97	52,950.00	0.13	1,741
235,000		DURHAM PUB IMPT- PUB IMPT BD DTD 2/1/92 BK ENTRY ONLY UT (CALL 2/1/2002 @ 102) 5.9% 02/01/2006-2002	Aaa	01/29/1992	13,865	5.8	102.16	232,201.15	240,080.70	0.58	7,880
200,000		NORTH CAROLINA ST BD DTD 3/1/1992 & YOUTH SVCS FACS BEO (P/R @ 102; O/M 3/1/2006) REFUNDED FROM AN ISSUE DTD 10/15/93 6.1% 03/01/2006-2002	Aaa	03/18/1992	12,200	5.9	102.73	196,314.00	205,458.00	0.50	9,144
100,000		WILMINGTON N C RFDG BD DTD 7/1/93 BEO UT (C 3/1/2003 @ 101.5) 4.8% 03/01/2006-2003	Aa3	06/25/1999	4,800	4.7	102.75	101,131.00	102,750.00	0.25	1,619
100,000		CARY SAN SWR BD DTD 4/1/96 BEO UT N/C 5.2% 04/01/2006	Aaa	06/25/1999	5,200	4.9	106.31	102,478.86	106,314.00	0.26	3,835
250,000		MECKLENBURG CNTY N C PUB IMPT BD DTD 4/1/94 BEO UT (C 4/1/2004 @ 101) 5.4% 04/01/2006-2004	Aaa	03/16/1994	13,500	5.1	106.66	251,472.67	266,647.50	0.65	15,175
100,000		RALEIGH N C SAN SWR BD DTD 5/1/93 BEO REOF @99.53 TO YLD 5.15% UT (C 5/1/2003 @ 101.5) 5.1% 05/01/2006-2003	Aaa	06/25/1999	5,100	4.9	103.39	102,215.04	103,389.00	0.25	1,174
100,000		CHARLOTTE NC BD DTD 6/1/1992 GENERAL OBL PREREF 6/01/02 @ 102 6.2% 06/01/2008-2002	Aaa	10/03/1996	6,200	6.0	103.86	102,873.17	103,850.00	0.25	985
50,000		NORTH CAROLINA ST BD DTD 3/1/97 SER A BEO (C 3/1/2007 @101) 5.2% 03/01/2009-2007	Aaa	03/05/1997	2,600	4.9	105.08	50,287.86	52,540.50	0.13	2,253
200,000		NORTH CAROLINA ST BD DTD 04/1/98 SER A BEO REOF @ 101.899 TO YLD 4.53% (C 04/1/2008 100) 4.75% 04/01/2009-2008	Aaa	03/18/1998	9,500	4.6	103.02	202,878.50	206,040.00	0.50	3,162

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SCHEDULE OF INVESTMENTS

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C A CANNON (322) TRUST
FIRST UNION NATIONAL BANK
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HAYES, HARRIET C CRAWFORD & W C
CANNON, JR FBO ROBERT C HAYES

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ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
300,000		NEW HANOVER CNTY N C GEN OBL UNLTD DTD 06/01/2001 4.25% 06/01/2010	Aa2	06/25/01	12,750	4.3	99.04	300,000.00	297,105.00	0.72	2,895-
50,000		NORTH CAROLINA ST BD DTD 1/1/97 BEO OID REOF @99.515 TO YLD 5.15% (C 6/1/2006 @ 102) 5.1% 06/01/2010-2006	Aaa	01/15/1997	2,550	4.9	104.51	49,729.07	52,252.50	0.13	2,523
500,000		BUNCOMBE CNTY N C GEN OBL UNLTD DTD 04/01/2001 4.3% 02/01/2011	Aa2	04/03/01	21,500	4.4	98.62	500,000.00	493,075.00	1.20	6,925-
300,000		CHARLOTTE NC BD DTD 8/1/98 OID PUB IMPT SER A (C 2/1/2008 @ 102) 4.75% 02/01/2013-2008	Aaa	07/14/1998	14,250	4.7	100.99	297,177.62	302,967.00	0.73	5,789
500,000		NORTH CAROLINA ST BD DTD 03/01/2001 REV 4.75% 03/01/2013-2011	Aaa	03/07/01	23,750	4.7	100.47	510,394.56	502,360.00	1.22	8,035-
400,000		GREENVILLE NC UTILS COMMN COMB ENTERPRISE SYS REV BD DTD 3/15/2000 OID SER A (C 3/1/2009 @101; P 3/1/2010) 5.3% 09/01/2014-2009	Aaa	03/30/00	21,200	5.1	103.08	396,262.17	412,300.00	1.00	16,038
400,000		ORANGE CNTY N C BD DTD 4/1/2000 PUB IMPT (C 4/1/2010 @102) 5.3% 04/01/2015-2010	Aa1	04/04/00	21,200	5.1	104.31	400,000.00	417,248.00	1.01	17,248
700,000		MECKLENBURG CNTY NC PUB IMPT GEN OBL UNLTD DTD 05/01/2001 5% 04/01/2016-2011	Aaa	04/25/01	35,000	5.0	100.88	700,000.00	706,188.00	1.71	6,188
500,000		NORTH CAROLINA ST BD DTD 03/01/2001 REV 5% 03/01/2018-2011	Aaa	03/07/01	25,000	5.0	99.32	503,390.00	496,600.00	1.20	6,790-
		TOTAL MUNICIPALS			362,365	5.1		7,037,928.59	7,166,811.20	17.38	128,883
		EQUITIES --------									
		COMMON STOCKS -------------									
		INDUSTRIALS -----------									
120,000		GENERAL ELEC CO COM		03/28/1984	86,400	1.8	40 08	217,706.25	4,809,600.00	11.66	4,591,894
1,600		IMAGISTICS INTL INC-WI COM		11/08/1984	0	0.0	12.35	1,887.47	19,760.00	0.05	17,873

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C A CANNON (322) TRUST
FIRST UNION NATIONAL BANK
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SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
18,000		MASCO CORP COM W/RIGHTS ATTACHED EXP 12/06/2005		06/10/1985	9,720	2.2	24.50	159,075.00	441,000.00	1.07	281,925
8,000		MINNESOTA MNG & MFG CO COM		03/11/1987	19,200	2.0	118.21	242,001.44	945,680.00	2.29	703,679
20,000		PITNEY-BOWES INC COM W/RTS ATTACHED EXP 02/20/2006		11/08/1984	23,200	3.1	37.61	82,000.03	752,200.00	1.82	670,200
7,500		UNION PAC CORP COM		06/13/1990	6,000	1.4	57.00	185,521.88	427,500.00	1.04	241,978
		TOTAL INDUSTRIALS			144,520	2.0		888,192.07	7,395,740.00	17.94	6,507,548
		MATERIALS ---------									
4,200		DU PONT E I DE NEMOURS & CO COM		12/03/1987	5,880	3.3	42.51	53,350.50	178,542.00	0.43	125,192
9,240		SONOCO PRODS CO COM		10/07/1993	7,392	3.0	26.58	177,048.00	245,599.20	0.60	68,551
6,250		TEMPLE INLAND INC COM W/RIGHTS ATTACHED EXP 2/20/2009		06/13/1986	8,000	2.3	56.73	132,775.00	354,562.50	0.86	221,788
		TOTAL MATERIALS			21,272	2.7		363,173.50	778,703.70	1.89	415,530
		CONSUMER STAPLES ----------------									
20,000		NESTLE S A SPONSORED ADR REPSTG REG SH		08/02/1990	13,600	1.3	53.30	298,750.00	1,066,080.00	2.59	767,330
36,000		PHILIP MORRIS COS INC COM		05/01/1986	83,520	5.1	45.85	181,397.40	1,650,600.00	4.00	1,469,203
		TOTAL CONSUMER STAPLES			97,120	3.6		480,147.40	2,716,680.00	6.59	2,236,533
		CONSUMER DISCRETIONARY ----------------------									
39,770		FORD MTR CO DEL COM		08/25/1983	23,862	3.8	15.72	84,585.75	625,184.40	1.52	540,599
2,978		VISTEON CORP COM		08/25/1983	715	1.6	15.04	3,459.45	44,789.12	0.11	41,330
		TOTAL CONSUMER DISCRETIONARY			24,577	3.7		88,045.20	669,973.52	1.62	581,928
		INFORMATION TECHNOLOGY ----------------------									
7,800		CISCO SYS INC COM W/RIGHTS ATTACHED EXPIRING 6/10/2008		09/24/01	0	0.0	18.11	101,556.00	141,258.00	0.34	39,702
4,300		E M C CORP MASS COM		09/24/01	0	0.0	13.44	55,470.00	57,792.00	0.14	2,322
9,600		INTEL CORP COM		09/24/01	768	0.3	31.45	204,192.00	301,920.00	0.73	97,728
14,000		INTL BUSINESS MACHINES CORP COM		03/28/1984	7,840	0.5	120.96	266,152.20	1,693,440.00	4.11	1,427,288
5,700		MICROSOFT CORP COM		01/18/01	0	0.0	66.25	316,350.00	377,625.00	0.92	61,275

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C A CANNON (322) TRUST
FIRST UNION NATIONAL BANK
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HAYES, HARRIET C CRAWFORD & W C
CANNON, JR FBO ROBERT C HAYES

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ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
3,700		SUN MICROSYSTEMS INC COM		09/24/01	0	0.0	12.30	33,152.00	45,510.00	0.11	12,358
		TOTAL INFORMATION TECHNOLOGY			8,608	0.3		976,872.20	2,617,845.00	6.35	1,640,673
		HEALTH CARE -----------									
36,000		BRISTOL-MYERS SQUIBB CO COM		05/06/1982	40,320	2.2	51.00	125,712.25	1,836,000.00	4.45	1,710,288
22,500		MERCK & CO INC COM		04/02/1971	31,500	2.4	58.80	31,562.50	1,323,000.00	3.21	1,291,438
90,000		PFIZER INC RTS EXP 10/15/2007		05/06/1982	46,800	1.3	39.85	108,438.42	3,586,500.00	8.70	3,478,062
3,600		ZIMMER HLDGS INC COM		05/06/1982	0	0.0	30.54	6,369.37	109,944.00	0.27	103,575
		TOTAL HEALTH CARE			118,620	1.7		272,082.54	6,855,444.00	16.63	6,583,361
		ENERGY ------									
2,890		ANADARKO PETE CORP COM W/RIGHTS ATTACHED EXPIRING 11/10/2008		06/13/1990	867	0.5	56.85	90,381.77	164,296.50	0.40	73,915
10,586		BP PLC SPONSORED ADR		04/02/1971	13,656	2.8	46.51	29,571.17	492,354.86	1.19	462,784
43,802		EXXON MOBIL CORP COM		06/13/1990	40,298	2.3	39.30	294,718.90	1,721,418.60	4.17	1,426,700
19,000		ROYAL DUTCH PETE CO NY REGISTRY SH PAR N GLDR 1.25		06/13/1990	22,781	2.4	49.02	189,881.25	931,380.00	2.26	741,499
		TOTAL ENERGY			77,602	2.3		604,553.09	3,309,449.96	8.03	2,704,897
		UTILITIES ---------									
11,700		DUKE POWER CO COM W/RIGHTS ATTACHED EXPIRING 12/16/2008		08/16/1988	12,870	2.8	39.26	126,038.25	459,342.00	1.11	333,304
4,172		EL PASO CORP COM		07/15/1983	3,546	1.9	44.61	22,120.09	186,112.92	0.45	163,992
14,475		WISCONSIN ENERGY CORP COM		03/11/1987	11,580	3.5	22.56	250,777.93	326,556.00	0.79	75,778
		TOTAL UTILITIES			27,996	2.9		398,937.07	972,010.92	2.36	573,074
		TELECOMMUNICATIONS ------------------									
25,342		CT COMMUNICATIONS INC COM NEW		06/08/1976	6,589	1.6	16.51	10,831.36	418,396.42	1.01	407,565
17,043		VERIZON COMMUNICATIONS COM		05/06/1982	26,246	3.2	47.46	94,735.28	808,860.78	1.96	714,126
		TOTAL TELECOMMUNICATIONS			32,835	2.7		105,566.64	1,227,257.20	2.98	1,121,691

ROBERT CANNON HAYES
TRUST - CA CANNON
(322)
PAGE 6 OF E

SCH. III, ATT. C

SCHEDULE OF INVESTMENTS

C A CANNON (322) TRUST
FIRST UNION NATIONAL BANK
CO-TTEE W/ G A BATTE JR, R C
HAYES, HARRIET C CRAWFORD & W C
CANNON, JR FBO ROBERT C HAYES

ACCT 1013731712

ASSETS HELD 12/31/01
VALUED AS OF 12/31/01

SHARES OR FACE AMOUNT	PLG COD	DESCRIPTION	BOND RTNG	LATEST ACQ DATE	EST INC	CURR YLD	UNIT MARKET	TOTAL TAX COST	TOTAL MKT VALUE	PCT MV	UNREAL GN/LS
		FINANCIALS									
44,499		AMERICAN INTL GRP INC COM		01/29/1985	7,476	0.2	79.40	134,731.98	3,533,220.60	8.57	3,398,489
16		BERKSHIRE HATHAWAY INC DEL CL A		12/31/1998	0	0.0	75,600.00	204,932.33	1,209,600.00	2.93	1,004,668
18		BERKSHIRE HATHAWAY INC DEL CL B		12/31/1998	0	0.0	2,525.00	7,684.96	45,450.00	0.11	37,765
8,745		CITIGROUP INC COM		08/25/1983	5,597	1.3	50.48	44,530.95	441,447.60	1.07	396,917
69,256		FIRST CHARTER CORP COM/WITH RIGHTS ATTACHED EXP 7/19/2010		04/02/1971	49,864	4.3	16.91	58,448.10	1,171,118.96	2.84	1,112,671
		TOTAL FINANCIALS			62,937	1.0		450,328.32	6,400,837.16	15.52	5,950,509
		TOTAL COMMON STOCKS			616,087	1.9		4,627,898.03	32,943,641.46	79.90	28,315,743
		OTHER ASSETS & LIABILITIES									
		PARTNERSHIPS									
		PRIVATE INVESTMENT FUNDS									
2		MEDICAL INVESTORS LLC		12/21/00	0	0.0	114,500.00	229,000.00	229,000.00	0.56	0
		TOTAL FUND			994,696	2.4		12,787,368.14	41,231,994.18	100.00	28,444,626

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED

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MC OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

John David Hayworth
(Full Name)
2434 Rayburn Blding
Washington, DC 20515
(Mailing Address)
Daytime Telephone: 202/225-2190

Filer Status	☒ Member of the U.S. House of Representatives — State: AZ District: 6	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I **CERTIFY** that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	J.D. Hayworth, M.C.	5/14/02

Name I.D. Hayworth

Page 2 of 2

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Team PAC	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

UNITED STATES HOUSE OF REPRESENTATIVES **FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001**	**FORM A** For use by Members, officers, and employees

⑥ HAND DELIVERED

LEGISLATIVE RESOURCE CENTER
2002 MAY 15 AM 9:47
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only) MC

Joel M. HEFLEY (Full Name)

Rm 2230 RHOB
WASh. D.C. 20515 (Mailing Address)

(202) 225-4422 (Daytime Telephone)

Filer Status	☒ Member of the U.S. House of Representatives State: Co. District: 5th	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

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TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joel M. Hefley	5/15/02

Name Joel Hefley

Page 2 of 6

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Spouse:		
	Co. State Legislature	Spouse salary	NA
	Stienmark	Spouse salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name Joel HEFLEY

Page 3 of 6

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	B: A None	B: B $1 – $1,000	B: C $1,001 – $15,000	B: D $15,001 – $50,000	B: E $50,001 – $100,000	B: F $100,001 – $250,000	B: G $250,001 – $500,000	B: H $500,001 – $1,000,000	B: I $1,000,001 – $5,000,000	B: J $5,000,001 – $25,000,000	B: K $25,000,001 – $50,000,000	B: L Over $50,000,000	C: DIVIDENDS	C: RENT	C: INTEREST	C: CAPITAL GAINS	C: EXCEPTED TRUST	C: QUALIFIED BLIND TRUST	C: Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	D: I None	D: II $1 – $200	D: III $201 – $1,000	D: IV $1,001 – $2,500	D: V $2,501 – $5,000	D: VI $5,001 – $15,000	D: VII $15,001 – $50,000	D: VIII $50,001 – $100,000	D: IX $100,001 – $1,000,000	D: X $1,000,001 – $5,000,000	D: XI Over $5,000,000	E: P, S, E
Examples: SP	Mega Corp Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
Examples:	1st Bank of Paducah, KY accounts						X									X										X						
JT	PARKWOOD MANOR APTS. N. Hancock Co. Springs (1/2)						X								X											X						
JT	FRIENDSHIP PL. APTS. (1/2) Friendship Pl. Co. Springs					X									X										X							
	Piper Jaffray - Money Mkt. 25 N. Cascade Av. Co. Springs, Co.			X												X					X											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND “UNEARNED” INCOME

Continuation Sheet (if needed)

Name JOEL HEFLEY

Page 4 of 6

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST $ Prime	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	NOTE on OK. FARM N. MACAuther, Edward, OK					X										X												X				S
	Public Emp. Retirement assn.				X																will NOT Receive income until Retirement											
	Teachers INS. Annuity Assn.							X																								
	Cong. FED Credit union					X										X								X								

This page may be copied if more space is required.

SCHEDULE IV — TRANSACTIONS

Name JOEL HEFLEY

Page 5 of 6

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset														
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	Ok. FARM		X		2001			X							

This page may be copied if more space is required.

Name Joel Hefley

Page 6 of 6

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
Example:	First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
JT	Jim Burton	Mortgage on 1/6 interest in Parkmore Apts. Hancock St. - Co. Sp., Co.		X								
JT	Loans Co. - Dallas, TX.	Mortgage on 1/3 interest in Friendship Apts. Friendship Pl., Co. Sp. Co.		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totaling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
N/A		

Use additional sheets if more space is required.

⑦

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR ~~2000~~ 2001

FORM A — Page 1 of 7

For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)

Walter William Herger, Jr.
(Full Name)

2268 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-3076
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives — State: CA District: 02	☐ Officer Or Employee	Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule I.

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? Yes ☐ No ☑
If yes, complete and attach Schedule II.

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? Yes ☑ No ☐
If yes, complete and attach Schedule III.

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule IV.

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? Yes ☑ No ☐
If yes, complete and attach Schedule V.

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? Yes ☐ No ☑
If yes, complete and attach Schedule VI.

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If yes, complete and attach Schedule VIII.

IX. Did you have any reportable agreement or arrangement with an outside entity? Yes ☐ No ☑
If yes, complete and attach Schedule IX.

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

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Trusts-- **Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?** Yes ☐ No ☑

Exemptions-- **Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?** Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Wally Herger	5-15-02

SCHEDULE I - EARNED INCOME

Name Walter William Herger, Jr.

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Fairfax County	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Walter William Herger, Jr.

Page 3 of 7

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	1120 4th Ave. (Rio Oso, CA)	$100,001-$250,000	Rent	$15,001 - $50,000	NA
	Herger Ranch (Rio Oso, CA)	$1,000,001 - $5,000,000	Rent	$15,001 - $50,000	NA
	Herger Gas, Inc. (Rio Oso, CA)	$1,000,001 - $5,000,000	S-corp Allocation	$50,001 - $100,000	NA
	National Financial Service, Corp. (formerly Bank of America)	$1 - $1,000	DIVIDENDS	$5,001-$15,000	NA

Name Walter William Herger, Jr.

Page 4 of 7

SCHEDULE IV - TRANSACTIONS

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Smith Barney, Inc.	S	7-14-01	1,001-15,000

SCHEDULE V - LIABILITIES

Name Walter William Herger, Jr.

Page 5 of 7

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	Home Savings of America	Personal Loan	$50,001-$100,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Walter William Herger, Jr.

Page 6 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Republican Study Cmte/CATs Retreat	Jan. 4-5, 2001	Baltimore, MD	Y	Y	Y	N/A
Association of American Railroads	Feb. 23-26, 2001	Scottsdale, AZ	Y	Y	Y	N/A
Bipartisan Congressional Retreat	March 9-11, 2001	White Sulpher Springs, WV	Y	Y	Y	N/A
KARE Woods Tour	June 8-10, 2001	McCloud, CA	Y	Y	N	N/A
Association of American Railroads	July 6-9, 2001	Jackson Hole, WY	Y	Y	Y	N/A
Ripon Transatlantic Conference	Aug. 11-27, 2001	Edinburgh, Scotland	Y	Y	Y	10 Days

SCHEDULE VIII - POSITIONS

Name	Walter William Herger, Jr.	Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director (Uncompensated)	Herger Gas, Inc. (Propane Gas Distribution, Rio Oso, CA)

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 4

For use by Members, officers, and employees

Baron P. Hill
(Full Name)

1208 Longworth HOB Washington, DC 20515
(Mailing Address)

(202) 225-5315
Daytime Telephone

Filer Status ☑ Member of the U.S. House of Representatives State: IN District: 9 ☐ Officer Or Employee Employing Office:

Report Type ☑ Annual (May 15) ☐ Amendment ☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Baron Hill	5-14-02

SCHEDULE I - EARNED INCOME

Name Baron P Hill

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Seymour Community Schools	Spouse Salary	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Baron P. Hill

Page 3 of 4

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Merrill Lynch Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Merrill Lynch Growth	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Merrill Lynch Basic	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Merrill Lynch Capital	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Indiana Public Employees Retirement Fund (PERF) bonds	$15,001 - $50,000	INTEREST	$201 - $1,000	
SP	Teacher Retirement Fund	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Baron P. Hill

Page 4 of 4

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Aspen Institute	March 9-11, 2001	Wash., D.C.--White Sulpher Springs Resort--Wash.,D.C.	Y	Y	Y	N
U.S. Assoc. of Former Members of Congress	April 7-13, 2001	Wash.,D.C.--Berlin, Germany--Wash.,D.C.	Y	Y	Y	N

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 4

For use by Members, officers, and employees

William V. Hilleary
(Full Name)

137 Scenic Hill Drive Spring City, TN 37381
(Mailing Address)

423-365-0410
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: TN District: 04	☐ Officer Or Employee Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☑
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		MAY 15, 2002

SCHEDULE I - EARNED INCOME

Name William V. Hilleary

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Rhea County Board of Education	Spouse Salary	$8,901

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name William V. Hilleary

Page 3 of 4

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Note from SSM Industries, Inc.	$50,001- $100,000		NONE	
	Wright-Patman Congressional Federal Credit Union	$1 - $1,000	INTEREST	$1 - $200	

SCHEDULE V - LIABILITIES

Name William V. Hilleary

Page 4 of 4

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	First National Bank of Pikeville	Personal Loan	$50,001 - $100,000
	Wright-Patman Federal Congressional Credit Union	Personal Loan	$10,001 - $15,000
	BB & T Bank of Knoxville	Personal Loan	$15,001 - $50,000

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 4
For use by Members, officers, and employees

Maurice D. Hinchey
(Full Name)

2431 Rayburn House Office Building Washington, DC 20515
(Mailing Address)

202-225-6335
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: NY District: 26	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐ No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐ No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief		5/15/02

SCHEDULE I - EARNED INCOME

Name Maurice D. Hinchey

Page 2 of 4

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of New York	Legislative Pension	$32,734

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Maurice D. Hinchey

Page 3 of 4

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	Alfacell Common Stock	$1001-$15,000	CAPITAL GAINS	NONE	
	Prudential IRA Variable Investment	$15,001 - $50,000	CAPITAL GAINS	NONE	
	Novo Networks	$1001 - $15,000	CAPITAL GAINS	NONE	

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Maurice D. Hinchey

Page 4 of 4

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Congressional Program of the Aspen Institute	1/12 - 1/17	Albany, NY - Grand Cayman - Albany, NY	Y	Y	N	N/A
Congressional Program of the Aspen Institute	2/16 - 2/19	Albany, NY - St. Petersburg, FLA - Albany, NY	Y	Y	N	N/A
International Management and Development Institute	2/21 - 2/25	Albany, NY - Duesseldorf - Albany, NY	Y	Y	Y	1 day
Center for Middle East Peace	5/26 - 6/4	Wash., DC - Cairo - Beirut - Amman - Jerusalem - Tel Aviv - Albany, NY	Y	Y	N	N/A
Congressional Program of the Aspen Institute	8/19 - 8/29	Albany, NY - Helsinki - Albany, NY	Y	Y	N	N/A
International Management and Development Institute	8/30 - 9/3	Helsinki - Prague- Madrid	Y	Y	N	3 days

HAND DELIVERED

MAURICE D. HINCHEY
26TH DISTRICT, NEW YORK

COMMITTEE ON APPROPRIATIONS

SUBCOMMITTEES:
AGRICULTURE, RURAL DEVELOPMENT, FOOD AND DRUG ADMINISTRATION AND RELATED AGENCIES
INTERIOR

Congreſs of the United States
House of Representatives
Washington, DC 20515–3226

WASHINGTON OFFICE:
2431 RAYBURN BUILDING
WASHINGTON, DC 20515–3226
(202) 225–6335

BINGHAMTON OFFICE:
100A FEDERAL BUILDING
BINGHAMTON, NY 13901
(607) 773–2768

KINGSTON OFFICE:
291 WALL STREET
KINGSTON, NY 12401
(845) 331–4466

ITHACA OFFICE
123 S. CAYUGA ST., SUITE 201
ITHACA, NY 14850
(607) 273–1388

MONTICELLO OFFICE
(845) 791–7116

June 11, 2002

(2)

MC

The Hon. Jeff Trandahl
Office of the Clerk
H-154 Capitol
Washington, DC 20515-6601

Dear Mr. Trandahl:

It has been brought to my attention that the manner in which I disclosed several privately sponsored trips on my 2001 Financial Disclosure Report is unclear. I am writing today to amend that report in an effort to clarify the nature and sponsorship of those trips.

Center for Middle East Peace, 5/26 - 6/4:

Although the trip totaled 10 days of travel, the days of May 26 and June 4 were devoted in full to trans-Atlantic travel. During the trip, three half-days were devoted to travel between countries within the Middle East: Cairo to Beirut on May 28; Beirut to Damascus on May 29; and Damascus to Amman on May 31. The total number of days of privately sponsored travel in a foreign country was six and one-half.

Aspen Institute, 8/19 - 8/29
International Management and Development Institute, 8/30 - 9/3:

The trip to Helsinki sponsored by the Congressional Program of the Aspen Institute convened on August 19 and continued through August 26. Following the Helsinki conference, I traveled at personal expense from August 27 - 29. My financial disclosure form inaccurately attributed the three days of personal travel to the IMDI trip when they should have been attributed to the Aspen Institute's portion of the trip.

From August 30 through September 3, I traveled to Prague and then Madrid at the expense of the International Management and Development Institute. IMDI paid for my travel within Europe.

When I returned to the United States from Madrid on September 3, my plane ticket was paid for by the Aspen Institute, as part of the round-trip ticket package it had purchased for me for its conference in Helsinki.

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I hope that this amendment sufficiently clarifies my travel on these dates. If you have any questions, please feel free to contact me or my chief of staff, Wendy Darwell, at 202-225-6335.

Best regards.

Sincerely,

Maurice D. Hinchey

HAND DELIVERED

6

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 AM 9:18

MC

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

RUBEN E. HINOJOSA
(Full Name)

P.O. BOX 1075
(Mailing Address)

MERCEDES, TX 78570

(202) 225-2531
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: TEXAS District: 15TH	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Ruben E. Hinojosa	May 14, 2002

Name RUBEN E. HINOJOSA **Page** 2 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source		Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
H*H MEAT PRODUCTS CO., INC.		CONSULTING FEES	15,000
ROBERT DRISCOLL AND JULIA DRISCOLL AND ROBERT DRISCOLL, JR. FOUNDATION		SPOUSE DIRECTOR FEES	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name RUBEN E. HINOJOSA

Page 3 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X							P
	Simon & Schuster		Indefinite																	Royalties									X		
	1st Bank of Paducah, KY accounts						X									X										X					
	342 S. TEXAS AVE./MERCEDES, TX RUBEN'S RENTAL BUILDING					X									X											X					
	REAL ESTATE ASSOCIATES		X																	PARTNERSHIP INCOME		X									
	HINOJOSA ENTERPRISES			X																PARTNERSHIP INCOME	X										
	HINOJOSA DEVELOPMENT								X											PARTNERSHIP INCOME							X				
SP	FIRM CONSULTANTS, INC.			X																S CORPORATION INCOME	X										
	H&H FOODS ESOP						X							X							X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name RUBEN E. HINOJOSA

Page 4 of 8

SP, DC, JT	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	H&H FOODS STOCK									X				X							X											
DC	MERRILL LYNCH CMA			X										X		X						X										
DC	TEXAS REGIONAL BANCSHARES					X								X										X								
SP	MERRILL LYNCH (IRA) - CASH			X										X								X										
SP	AVAYA INC		X											X							X											
SP	INTL BANCSHARES STOCK			X										X								X										
SP	LUCENT TECHNOLOGIES STOCK		X											X							X											
SP	MICROSOFT CORP. STOCK			X										X							X											
SP	WORLDCOM INC STOCK		X											X								X										
DC	TEXAS TOMORROW FUND				X											X					X											
JT	BANK OF AMERICA CHECKING (DC)			X													N/A				X											
JT	BANK OF AMERICA SAVINGS		X													X						X										
	MERRILL LYNCH CMA					X								X		X									X							
	DAIN RAUSCHER (IRA)																															
	MFS TOTAL RETURN FUND - A				X									X			X							X								
	MASSACHUSETTS INVESTORS				X									X			X						X									
	MFS GOV'T SECURITIES FUND				X									X			X							X								

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Name RUBEN E. HINOJOSA

Page 5 of 8

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	X			10-12-01		X								
	DAIN RAUSCHER (IRA)														
	MFS TOTAL RETURN FUND-A	X			MONTHLY DIVIDEND REINVESTMENT	X									
	MFS GOV'T SECURITIES FUND	X			MONTHLY DIVIDEND REINVESTMENT	X									

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Name RUBEN E. HINOJOSA **Page** 6 **of** 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
*	H & H FOODS	LOAN TAXES PERSONAL (1990-1997)										
	HINOJOSA DEVELOPMENT CO.	PERSONAL LOAN 1984					X					

* RECLASSED TO HINOJOSA DEVELOPMENT CO. 9/30/00

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name RUBEN E. HINOJOSA **Page** 7 **of** 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
US-MEXICO CHAMBER OF COMMERCE		FEB. 18-21	MCALLEN,TX-MEXICO CITY-MCALLEN,TX	Y	Y	Y	N
CONGRESSIONAL HISPANIC CAUCUS INSTITUTE		FEB. 21-24	MCALLEN,TX-MCALLEN,TX-WASH.,D.C.	Y	Y	Y	N

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Name RUBEN E. HINOJOSA | Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
PARTNER	HINOJOSA DEVELOPMENT COMPANY
PARTNER	HINOJOSA ENTERPRISES
PARTNER	REAL ESTATE ASSOCIATES LIMITED II

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mac)

Use additional sheets if more space is required.

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21

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U.S. HOUSE OF REPRESENTATIVES

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UNITED STATES HOUSE OF REPRESENTATIVES
FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A Page 1 of 21
For use by Members, officers, and employees

David L. Hobson
(Full Name)

2805 Kilkenny Drive Springfield, OH 45503
(Mailing Address)

202-225-4324
Daytime Telephone:

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: OH District: 07	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐	VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑	VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐	VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐	IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑ No ☐		**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	David L Hobson	5-15-02

SCHEDULE I - EARNED INCOME

Name David L. Hobson

Page [illegible] of 21

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Public Employee Retirement System of Ohio	Legislative Pension	$11,412

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

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	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
	I-Four Partnership (Bldg& Land) 2138 N. Limestone, Springfield, Ohio	$1,000,001 - $5,000,000	RENT	$2,501 - $5,000	
	Fidelity Investment Advisors, Inc. (S-Corp), (Joint venture partner in Turnberry Village Partnership, Edinburgh Village Partnership and Prestwick Village Partnership)McArthur, OH	$1,000,001 - $5,000,000	S-CORP. INCOME, INTEREST	$100,001 - $1,000,000	
	Fidelity Investment Advisors, Inc. Land on Rte 68, Springfield, OH	$50,001 - $100,000	NONE	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	Fidelity Investment Advisors, Inc. Investments at Salomon Smith Barney	$50,001 - $100,000	DIVIDENDS/INTEREST	$5,001 - $15,000	
	The Offices at Rickenbacker, LLC (Buildings & Land), Dublin, OH	$100,001 - $250,000	PARTNERSHIP INCOME, INTEREST	$201 - $1,000	P
	Fujiyama Columbus Partnership, Note Receivable	$250,001 - $500,000	INTEREST	$15,001 - $50,000	
	Fujiyama Indianapolis Partnership, Note Receivable	$100,001 - $250,000	INTEREST	$15,001 - $50,000	
SP	Delaware Group (Mutual Fund)	$15,001 - $50,000	DIVIDENDS	$1,001 - $2,500	
	Kemper Technology Fund (Mutual Fund)	$15,001 - $50,000	DIVIDENDS	$2,501 - $5,000	
SP	Proctor & Gamble (Stock)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Proctor & Gamble (Stock)	$50,001 - $100,000	DIVIDENDS	$201 - $1,000	
	Assets Held in American Express Acct. #7927473				
	Mutual Funds	None	DIVIDENDS	$1 - $200	S
	Assets Held In American Express Acct. # 12506655				
	American Express (Stock)	None	DIVIDENDS	$1 - $200	Transferred to Salomon Smith Barney #715-45624-12

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	Proctor & Gamble (Stock)	None	DIVIDENDS	$1 - $200	Transferred to Salomon Smith Barney #715-45624-12
	CitiGroup (Stock)	None	DIVIDENDS	$201 - $1,000	Transferred to Salomon Smith Barney #715-45624-12
	Microsoft Corp (Stock)	None	DIVIDENDS	$1 - $200	Transferred to Salomon Smith Barney #715-45624-12
	IBM Corp Stock	None	DIVIDENDS	$1 - $200	Transferred to Salomon Smith Barney #715-45624-12
	Doubleclick, Inc. (Stock)	None	DIVIDENDS	$1 - $200	Transferred to Salomon Smith Barney #715-45624-12
	Nokia Corp (Stock)	None	DIVIDENDS	$1 - $200	Transferred to Salomon Smith Barney #715-45624-12
	IBM Corp (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	FLC (Stock)	$100,001 - $250,000	DIVIDENDS	NONE	
	International Basic Resources	$1,001 - $15,000	DIVIDENDS	NONE	
	Ohio Public Employee Retirement Fund	$15,001 - $50,000	PENSION	$5,001 - $15,000	
	Assets Held in Salomon Smith Barney #715-51764-10				
	Citigroup, Inc. (Stock)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Intel Corp (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Nokia Sponsored ADR (Stock)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	S
	Park National Corp (Stock) Formerly Security BancCorp	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Western Ohio Financial Corp (Stock)	None	DIVIDENDS	$201 - $1,000	S
	Cisco Systems, Inc. (Stock)	$15,001 - $50,000	DIVIDENDS	NONE	
	Champaign Telephone Co. (Stock)	$50,001 - $100,000	DIVIDENDS	$1,001 - $2,500	
	Chevron/Texaco Corp (Stock) Formerly Chevron Corp	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Doubleclick, Inc. (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	
	IBM Corp. (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	Proctor & Gamble (Stock)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Beacon Power Corp. (Stock)	None	DIVIDENDS	NONE	S
	EMC Corp - Mass (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	
	Hydrogenics Corp (Stock)	None	DIVIDENDS	NONE	S
	Manufacturers Services, Ltd. (Stock)	None	DIVIDENDS	NONE	S
	Microsoft Corp (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	
	Monsanto Co. (Stock)	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	AOL/Time Warner Inc. (Stock) Formerly Time Warner Inc.	$1,001 - $15,000	DIVIDENDS	NONE	
	Arlington Bank Restricted (Stock)	$15,001 - $50,000	DIVIDENDS	NONE	
	Assets in Salomon Smith Barney #715-45624-12				
	Park National Corp (Stock) Formerly Security BancCorp	$100,001 - $250,000	DIVIDENDS/CAPITAL LOSS	$2,501 - $5,000	Partial Sale
	Lucent Technologies (Stock)	None	CAPITAL LOSS	$1 - $200	S
	Microsoft Corp (Stock)	$15,001 - $50,000	DIVIDENDS	NONE	Transfer From American Express #12506655

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	Doubleclick, Inc. (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	Transfer From American Express #12506655
	MCI Worldcom, Inc. (Stock)	None	CAPITAL LOSS	NONE	S
	Nokia Corp (Stock)	$15,001 - $50,000	DIVIDENDS	$1 - $200	Transfer From American Express #12506655
	Intel Corp (Stock)	$15,001 - $50,000	DIVIDENDS	$1 - $200	
	Orient Express Hotels Ltd (Stock)	None	CAPITAL LOSS	NONE	S
	Viryanet Ltd (Stock)	None	CAPITAL LOSS	NONE	S
	ASAT Holdings Ltd (Stock)	None	CAPITAL LOSS	NONE	S
	America Online Latin Amer, Inc. (Stock)	None	CAPITAL LOSS	NONE	S
	Avaya, Inc. (Stock)	None	CAPITAL LOSS	NONE	S
	Chalone Wine Group Ltd (Stock)	None	CAPITAL LOSS	NONE	S
	Deltagen, Inc (Stock)	None	CAPITAL LOSS	NONE	S
	Equinex, Inc. (Stock)	None	CAPITAL LOSS	NONE	S

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	EXE Technologies, Inc. (Stock)	None	CAPITAL LOSS	NONE	S
	Iaslaworks, Inc. (Stock)	None	CAPITAL LOSS	NONE	S
	Navigant Consulting Co (Stock)	None	CAPITAL GAINS	$2,501 - $5,000	S
	Proton Energy Systems (Stock)	None	CAPITAL LOSS	NONE	S
	American Express Co. (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	Transfer Fro American Express #12506655
	Citigroup, Inc. (Stock)	$15,001 - $50,000	DIVIDENDS	$1 - $200	Transfer From American Express #12506655
	IBM Corp (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	Transferred From American Express #12506655
	Proctor & Gamble (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	Transferred From American Express #12506655
	Assets Held In IRA Advest Acct. #782-70032				
	Microsoft Corp (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	Park National Corp (Stock) Formerly Security BancCorp	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	Money Funds	$1 - $1,000	DIVIDENDS	$1 - $200	
	Qualcomm, Inc. (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Nokia Corp (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Doubleclick, Inc. (Stock)	$1 - $1,000	DIVIDENDS	$1 - $200	
	Assets Held In Salomon Smith Barney IRA Acct. #715-50987-13				
	Select Unit Trust	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
	SSB Money Funds	$1 - $1,000	DIVIDENDS	$1 - $200	
	Mutual Funds	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
SP	Assets in Salomon Smith Barney IRA Acct. #715-57493-15				
	Select Unit Trusts	$1,001 - $15,000	DIVIDENDS	$1 - $200	PS
	SSB Money Funds	$1 - $1,000	DIVIDENDS	$1 - $200	
	Mutual Funds	$1,001 - $15,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

	Assets in Salomon Smith Barney Acct. #715-06351-13				
	CMGI, Inc (Stock)	None	DIVIDENDS/CAPITAL LOSS	NONE	S
	Doubleclick, Inc. (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	P
	Exxon Mobile Corp (Stock)	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	
	General Electric Co. (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	IBM Corp (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Oracle Corp (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	
	Proctor & Gamble (Stock)	$500,001 - $1,000,000	DIVIDENDS	$5,001 - $15,000	
	Qualcomm, Inc. (Stock)	$1,001 - $15,000	DIVIDENDS	NONE	
	Yahoo, Inc. (Stock)	$1 - $1,000	DIVIDENDS	NONE	
	SSB Money Funds	None	DIVIDENDS	$201 - $1,000	S
	Bank of New York, Inc. (Stock)	$1,001 - $15,000	DIVIDENDS	$1 - $200	P
	Abiomed, Inc. (Stock)	None	DIVIDENDS/CAPITAL GAINS	$201 - $1,000	PS
SP	Assets Held in Salomon Smith Barney Acct.# 715-01917-11				

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name David L. Hobson

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	Proctor & Gamble (Stock)	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	
	Park National Corp (Stock) Formerly Security BancCorp	$100,001 - $250,000	DIVIDENDS	$2,501 - $5,000	
	Mutual Funds	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	Unit Investment Trusts	$1,001 - $15,000	DIVIDENDS	$1 - $200	
	SSB Money Funds	$1 - $1,000	DIVIDENDS	$1 - $200	
	Citibank Bank Deposit Program	$1,001 - $15,000	INTEREST	$1 - $200	P

SCHEDULE IV - TRANSACTIONS

Name David L. Hobson

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	The Offices at Rickenbacker, LLC (Buildings & Land), Dublin, OH	P	07-13-01	$100,001 - $250,000
	Assets Held in American Express #7927473			
	Mutual Funds	S	Various	$1,001 - $15,000
	Assets Held in Salomon Smith Barney #715-51764-10			
	Nokia Sponsored ADR (Stock)	S	08-10-01	$1,001 - $15,000
	Western Ohio Financial Group (Stock)	S	08-10-01	$1,001 - $15,000
	Beacon Power Group (Stock)	S	08-10-01	$1,001 - $15,000
	Hydrogenics Corp (Stock)	S	07-02-01	$1,001 - $15,000
	Manufacturers Services, Ltd. (Stock)	S	07-02-01	$1,001 - $15,000
	Assets in Salomon Smith Barney #715-45624-12			
	Park National Corp (Stock)	S	08-13-01	$15,001 - $50,000
	Lucent Technologies (Stock)	S	03-22-01	$1,001 - $15,000

'SCHEDULE IV - TRANSACTIONS

Name David L. Hobson

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	MCI Worldcom, Inc. (Stock)	S	Various	$1,001 - $15,000
	Orient Express Hotels Ltd (Stock)	S	03-22-01	$1,001 - $15,000
	Viryanet Ltd (Stock)	S	03-22-01	$1,001 - $15,000
	ASAT Holdings Ltd (Stock)	S	03-22-01	$1,001 - $15,000
	America Online Latin Amer, Inc. (Stock)	S	03-22-01	$1,001 - $15,000
	Avaya, Inc. (Stock)	S	03-22-01	$1,001 - $15,000
	Chalone Wine Group (Stock)	S	03-22-01	$1,001 - $15,000
	Deltagen Inc (Stock)	S	03-22-01	$1,001 - $15,000
	Equinex Inc (Stock)	S	03-22-01	$1,001 - $15,000
	EXE Technologies, Inc. (Stock)	S	03-22-01	$1,001 - $15,000
	Iasiaworks, Inc. (Stock)	S	03-22-01	$1,001 - $15,000
	Navigant Consulting Co (Stock)	S	03-22-01	$1,001 - $15,000

SCHEDULE IV - TRANSACTIONS

Name David L. Hobson

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Proton Energy Systems (Stock)	S	03-22-01	$1,001 - $15,000
	Assets Held in IRA Advest Acct. #782-70032			
	Nokia Corp (Stock)	P	03-27-01	$1,001 - $15,000
	Assets Held in Salomon Smith Barney IRA Acct# 715-50987-13			
	Select Unit Trust	PS	12-20-01	$1,001 - $15,000
	Mutual Funds	P	08-15-01	$1,001 - $15,000
SP	Assets in Salomon Smith Barney IRA Acct# 715-57493-15			
	Select Unit Trusts	PS	Various	$1,001 - $15,000
	Assets in Salomon Smith Barney Acct #715-06351-13			
	CMGI, Inc. (Stock)	S	03-27-01	$1,001 - $15,000
	Doubleclick, Inc. (Stock)	P	03-27-01	$1,001 - $15,000
	SSB Money Funds	PS	Various	$15,001 - $50,000

SCHEDULE IV - TRANSACTIONS

Name David L. Hobson

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Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Bank of New York, Inc. (Stock)	P	03-27-01	$1,001 - $15,000
	Ablomed, Inc. (Stock)	PS	03-27-01, 08-13-01	$1,001 - $15,000
SP	Assets Held in Salomon Smith Barney Acct # 715-01917-11			
	Citibank Bank Deposit Program	P	Various	$1,001 - $15,000

SCHEDULE V - LIABILITIES

Name David L. Hobson

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Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	KeyBank	Fujiyama Columbus OH Partnership Restaurant & Land	$250,001 - $500,000
	Security National Bank	First Mortgage on 2138 N. Limestone Street	$1,000,001 - $5,000,000
	Huntington National Bank	Mortgage on Parcels #22033440032 & #22033440020, Rte 68 SPFLD, OH (Fidelity Investment Advisors, Inc.)	$50,001 - $100,000
	Huntington National Bank	Revolving Line of Credit	$100,001 - $250,000
	Heller Small Business Lending Corp, Indianapolis, IN	Mortgage on Fujiyama Restaurant, Indianpolis, IN	$100,001 - $250,000
	Security National Bank	Business Note	$15,001 - $50,000
	Salomon Smith Barney	Note Secured by Stock	$250,001 - $500,000
	New Carlisle Federal	Revolving Line of Credit	$50,001 - $100,000
	Provident Bank	Business Note, Edinburgh Village Development, St Rte 48, Dayton, OH (Fidelity Investemnet Advisors, Inc.)	$500,001 - $1,000,000
	National City Bank	Business Note, The Offices at Rickenbacker, LLC	$100,001 - $250,000

LIABILITIES

Name David L. Hobson

r $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest
e year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or
les owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the
calendar year exceeded $10,000.

Creditor	Type of Liability	Amount of Liability
	Business Note, Prestwick Village Partnership (Fidelity Investment Advisors, Inc.)	$500,001 - $1,000,000
	Business Note, Fidelity Investment Advisors, Inc.	$100,001 - $250,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name David L. Hobson

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Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Ripon Educational Fund	Aug. 10-20	Wash., D.C. --Edinburgh, Scotland--Wash., D.C.	Y	Y	Y	2 Days
American Crop Protection Assoc.	Sept. 28-Oct. 1	Cols., OH -- White Sulpher Springs, WVA -- Wash., D.C.	Y	Y	Y	N/A

SCHEDULE VIII - POSITIONS

Name David L. Hobson

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Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Partner	I-Four
Officer	Fidelity Investment Advisors, Inc.
Partner	The Offices at Rickenbacker, LLC

SCHEDULE IX - AGREEMENTS

Name David L. Hobson

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Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
1982-Present	State of Ohio Public Employee Retirement System	Continuing Participation in Retirement Plan

DAVID L. HOBSON
7th District, Ohio

WASHINGTON OFFICE
1514 Longworth House Office Building
Washington, DC 20515

(202) 225-4324

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MC ✓

The Honorable Jeff Trandahl, Clerk
U.S. House of Representatives
Legislative Resource Center
B 106 Cannon HOB
Washington, D.C. 20515

RE: Amendment to Financial Disclosure Statement for 2001

Dear Mr. Trandahl:

I wish to amend my Financial Disclosure Statement for 2001 to reflect the following changes on Page 18 (Schedule V /Liabilities). The name under Creditors should read SkyBank on both entries.

I have attached a copy of the corrected page. Please treat this letter as an amendment to my Financial Disclosure Statement for 2001.

Sincerely,

DAVID L. HOBSON, MC
Seventh Ohio District

DLH/gg

SCHEDULE V - LIABILITIES

Name David L. Hobson

Page 18 of 21

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	SkyBank	Business Note, Prestwick Village Partnership (Fidelity Investment Advisors, Inc.)	$500,001 - $1,000,000
	SkyBank	Business Note, Fidelity Investment Advisors, Inc.	$100,001 - $250,000

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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JOSEPH M. HOEFFEL
(Full Name)

1908 LYCOMING AVE
ABINGTON PA 19001
(Mailing Address)

Daytime Telephone: 610-272-8400

Filer Status	☒ Member of the U.S. House of Representatives State: PA District: 13	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination Termination Date:

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Joseph M Hoeffel	5/15/02

Name JOSEPH M HOEFFEL Page 1 of 8

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	SCHOOL DISTRICT OF PHILADELPHIA, PA.	SPOUSE SALARY	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name JOSEPH M HOEFFEL Page 2 of 8

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

Source	Activity	Date	Amount
Examples: Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
XYZ Magazine	Article	Aug. 13, 2001	$500
THE CONNELL CO ONE CONNELL DRIVE BERKELEY HGTS NJ 07922	SPEECH	05-04-2001	2,000

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Name JOSEPH M. HOEFFEL Page 3 of 8

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	NORTHEAST UTILITIES STOCK		X											X								X										
	VANGUARD INDEX 500 STOCK			X										X								X										
	VANGUARD WINDSOR II IRA			X										NA							NA											
	VANGUARD WELLESLEY IRA			X										NA							NA											
	AETNA VARIABLE FUND DEFERRED COMP				X									NA							NA											
	EQUITABLE IRA			X										NA							NA											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name JOSEPH M HOEFFEL

Page 4 of 8

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	SCHOOL DIST. OF PHILA. PENSION				X									NA							NA											
	VANGUARD ASSET ALLOCATION IRA				X									NA							NA											

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SCHEDULE IV — TRANSACTIONS

Name JOSEPH M HOEFFEL

Page 5 of 8

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction			Date	Amount of Transaction									
		PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	*Example:* Mega Corporation Common Stock	X			10–12–01		X								
	VANGUARD INDEX 500 STOCK	X	X				X								

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Name	Page
JOSEPH M HOEFFEL	6 of 8

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example. First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	AFSA, MILWAUKEE, WI	EDUCATION LOAN		X								

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example. Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name JOSEPH M HOEFFEL

Page 7 of 8

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
CHINESE NATL ASSOC OF INDUSTRY & COMMERCE		8-27/8-31	PHILA PA – LOS ANGELES - TAIWAN ROC - LOS ANGELES - PHILA PA	Y	Y	Y	N

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12/97

U.S. House of Representatives
EMPLOYEE TRAVEL DISCLOSURE FORM

This form is for disclosing the receipt of travel expenses from private sources for meetings, speaking engagements, fact-finding trips or similar events in connection with official duties. You need not disclose government-funded or political travel on this form, or travel that is unrelated to official duties. This form does not eliminate the need to report all privately-funded travel on the annual Financial Disclosure Statements of those persons required to file them. In accordance with House Rule 51, complete this form and file it with the Clerk of the House of Representatives, B-106 Cannon House Office Building, within 30 days after travel is completed. The Clerk shall make these forms available to the public as soon as possible after they are filed. *Provide a good faith estimate of all expenses.*

NAME OF EMPLOYEE (PRINT OR TYPE): JOSEPH M HOEFFEL MC

NAME OF ACCOMPANYING FAMILY MEMBER: FRANCESCA M HOEFFEL

RELATIONSHIP TO EMPLOYEE (check one): [✓ spouse] child

DATES OF TRAVEL: AUGUST 27-31, 2001

DATES AT PERSONAL EXPENSE: N/A

DESTINATION(S): TAIWAN, REPUBLIC OF CHINA

SPONSOR (WHO PAID FOR THE TRIP): CHINESE NAT'L ASSOC OF IND & COMMERCE

PURPOSE OF TRIP: ATTEND SEMINAR, EDUCATIONAL VISIT

TOTAL TRANSPORTATION EXPENSES:

For employee: 5,200

For accompanying spouse or child: 5,200

TOTAL LODGING EXPENSES:

For employee: 320

For accompanying spouse or child: 320

TOTAL MEAL EXPENSES:

For employee: 125

For accompanying spouse or child: 125

TOTAL OF ALL OTHER EXPENSES:

For employee: 180

For accompanying spouse or child: 180

SIGNATURE OF EMPLOYEE: Joseph M Hoeffel DATE: 09-17-01

I authorized this travel in advance. I have determined that all of the expenses listed above were necessary and that the travel was in connection with the employee's official duties and would not create the appearance that he/she is using public office for private gain.

NAME OF SUPERVISING MEMBER/OFFICER (PRINT OR TYPE):

SIGNATURE OF SUPERVISING MEMBER/OFFICER: DATE:

Name JOSEPH M HOEFFEL. Page 8 of 8

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
N/A	N/A

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	N/A	

Use additional sheets if more space is required.

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED ⑨

LEGISLATIVE RESOURCE CENTER
MAY 15 PM 3:37
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

MC

(Office Use Only)

PETER HOEKSTRA
(Full Name)

1124 LONGWORTH HOB, WASHINGTON DC
(Mailing Address)

202 225 440
Daytime Telephone:

Filer Status	☒ Member of the U.S. House of Representatives — State: District:	☐ Officer or Employee	Employing Office:
Report Type	☐ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒	No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒	No ☐
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Pete Hoekstra	5/15/02

Name PETER HOEKSTRA | Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
Examples: Keene State	Approved Teaching Fee	$8,000
State of Maryland	Legislative Pension	$9,000
Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
Ontario County Board of Education	Spouse Salary	NA
None		

For payments to charity in lieu of honoraria, use Schedule II.

Name PETER HOEKSTRA | Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C.	Speech	Feb. 2, 2001	$2,000
	XYZ Magazine	Article	Aug. 13, 2001	$500
	None			

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SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name PETER HOEKSTRA

Page 4 of 9

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
DC	Simon & Schuster	Indefinite																		Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
	PersonAl Acct.																															
JT	-Macatawa Bank			X												X						X										
	· FederAl Credit U.			X												X						X										
JT	Herman Miller Corp Stock				X									X																		
	Federal T/S						X							X		X	X						X									
														~~X~~		~~X~~																

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name PETER HOEKSTRA

Page 5 of 9

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Diane IRA Account																															
	w/ RoyAl Alliance																															
SP	- Gentex Corp Stk				X												X				X											
SP	- Huntington Bank "			X										X			X						X									
SP	- Irwin Financial "			X										X			X					X										P
	- Herman Miller "				X												X								X							S
	APA Optics			X										X			X					X										
	Br. Strns. S/P Stars				X									X			X						X									
	Compaq Computer			X										X			X					X										
P/DC	Gentex Corp.					X								X			X										X					S/P
	Growth Fund America				X									X			X						X									
	New Economy Fund				X									X			X						X									
	Schwab Charles Corp.			X										X			X					X										
	Urstadt Biddle PPtys			X										X			X					X										P
	Union Planters Corp.			X										X			X						X									
	Wash. Mutual Inv.				X									X			X							X								
	Ft 422 Tech Port.			X										X			X					X										
	Money Market Fund				X											X								X								

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SCHEDULE IV — TRANSACTIONS

Name PETER HOEKSTRA

Page 6 of 9

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

		Type of Transaction			Date	Amount of Transaction									
SP, DC, JT	Asset	PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP	Example: Mega Corporation Common Stock	x			10–12–01		x								
	Gentex Corp. Stock		X		4-27-01		X								
P / DC	Gentex Corp. "		X		7-26-01		X								
P / DC	Gentex Corp. "	X			12-03-01		X								
	Gentex Corp "	x			9-18-01	X									
	Gentex Corp. "	X			9-21-01	X									
	Macatawa Bank Corp. Stock		X		10-04-01		X								
	Urstadt Biddle PPTYS A	X			10-26-01	X									
JT	Herman Miller Stock	Gifted			12-26-01	X									
SP	Herman Miller Stock		X		8-07-01		X								
SP	Irwin Financials	X			8-14-01	X									
SP	Huntington Bank - closed IRA Mgmt.				6-08-01			X							
SP	Royal Alliance - opened IRA Mgmt.				6-08-01			X							

This page may be copied if more space is required.

Name PETER HOEKSTRA Page 7 of 9

SCHEDULE V — LIABILITIES

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				x						
	MACATANA BANK	EQUITY LINE OF CREDIT			X							

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270

Use additional sheets if more space is required.

Name Peter Hoekstra

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source		Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
The Heritage Foundation		Jan. 4-5	Baltimore	Y	Y	N	N

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Name PETER HOEKSTRA   Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
BOARD MEMBER	COMPASS ARTS

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO 2002 77-791 (mac)

Use additional sheets if more space is required.

PETE HOEKSTRA
SECOND DISTRICT
MICHIGAN
E-MAIL
tellhoek@mail.house.gov
WORLD WIDE WEB
www.house.gov/hoekstra

107th Congress
Congress of the United States
House of Representatives

COMMITTEES
EDUCATION AND THE WORKFORCE
CHAIRMAN,
SELECT EDUCATION SUBCOMMITTEE
BUDGET COMMITTEE
VICE CHAIRMAN
SELECT COMMITTEE ON INTELLIGENCE

①

June 11, 2002

The Honorable Jeff Trandahl
Office of the Clerk
Legislative Resources Center
B106 Cannon
Washington, DC 20515

Dear Mr. Trandahl:

MC ✓

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
2002 JUN 11 PM 3:03
LEGISLATIVE RESOURCE CENTER

HAND DELIVERED

Please accept these amendments to my Financial Disclosure Statement for the Calendar Year 2001:

- Page 1 - The state and district I represent was omitted and should have been identified as MI/02
- Page 1 - Preliminary Information – Item VIII -The answer to that question should be "Yes."
- Page 8 – Travel Payments and Reimbursements – The round trip itinerary for this conference should read "Washington, DC – Baltimore – Washington, DC.

Thank you for your assistance in adding these amendments to my statement.

Sincerely,

Pete Hoekstra

Pete Hoekstra

PH/jd

WASHINGTON OFFICE
1124 Longworth HOB
Washington, DC 20515
(202) 225-4401
FAX (202) 226-0779

DISTRICT OFFICE – HOLLAND
184 S. River Avenue
Holland, Mich 49423
(616) 395-0030
FAX: (616) 395-0271

DISTRICT OFFICE – MUSKEGON
900 Third Street, Suite 203
Muskegon, Mich 49440
(231) 722-8386
FAX: (231) 722-0176

DISTRICT OFFICE – CADILLAC
210-1/2 North Mitchell St
Cadillac, Mich 49601
(231) 775-0050
FAX: (231) 775-0298

PRINTED ON RECYCLED PAPER

HAND DELIVERED

LEGISLATIVE RESOURCE CENTER

2002 MAY 15 PM 3:05

(7) MC

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A — Page 1 of 7

For use by Members, officers, and employees

Tim Holden
(Full Name)

31 Pearl Street St. Clair, PA 17970
(Mailing Address)

(202)225-5546
Daytime Telephone

(Office Use Only)

Filer Status	☑ Member of the U.S. House of Representatives	State: PA District: 6th	☐ Officer Or Employee — Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑ No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑ No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑ No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐ No ☑
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐ No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑ No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☑ No ☐
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐ No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐ No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001)

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief	Tim Holden	5/15/02

SCHEDULE I - EARNED INCOME

Name Tim Holden

Page 2 of 7

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
County of Schuylkill	spouse salary	$27,302.30

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Tim Holden

	BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership income or Farm income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Schuylkill Federal Employees Credit Union, 724 Market Street, Pottsville, PA 17901	$15,001 - $50,000	DIVIDENDS	$201 - $1,000	N/A
JT	M &T Bank (formerly Pennsylvania National Bank), One South Centre, Pottsville, PA 17901	$1 - $1,000	INTEREST	$1 - $200	N/A
JT	Name change from Industrial Holdings, Inc. To T-3 Energy	$1 - $1,000	DIVIDENDS	N/A	N/A
JT	Van Guard Energy Fund	$15,001 - $50,000	INTEREST	N/A	N/A
JT	Windsor Stocks	$15,001 - $50,000	DIVIDENDS	N/A	N/A

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Tim Holden

Page 4 of 7

JT	PA Tax Free Fund, Insured Long Term Bond	$1,001 - $15,000	Other: (tax exempt income)	$201 - $1,000	N/A
JT	VMMR Prime Portfolio	$1,001 - $15,000	INTEREST	$201 - $1,000	N/A
JT	VanGuard High Yeild Corporate Portfolio	$15,001 - $50,000	INTEREST	$1,001 - $2,500	N/A
	Lucent Technologies	$1 - $1,000	DIVIDENDS	N/A	N/A
	Main Street Bankcorp, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A
	Sovereign Bankcorp, Inc.	$1,001 - $15,000	DIVIDENDS	$1 - $200	N/A
	UIT First Trust	$1,001 - $15,000	DIVIDENDS	N/A	P
	Legg Mason Money Market Fund	$1,001 - $15,000	DIVIDENDS	$201 - $1,000	N/A
	Legg Mason Focus TR, Inc.	$1,001 - $15,000	DIVIDENDS	N/A	P
	Legg Mason Value Trust	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	P
	Legg Mason Special Investment Trust	$1,001 - $15,000	CAPITAL GAINS	$1 - $200	P
SP	Schuylkill County Employees Retirement System	$15,001 - $50,000	N/A	N/A	N/A
	Agere Systems	$1,001 - $15,000	DIVIDENDS	N/A	P

SCHEDULE IV - TRANSACTIONS

Name Tim Holden

Page 5 of 7

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
	Agere Sys Inc	P	3-28-01	$1,001 - $15,000
	UIT First Trust	P	dividend reinvestments	$1,001 - $15,000
	Legg Mason Focus TR, Inc.	P	dividend reinvestments	$1,001 - $15,000
	Legg Mason Value Trust	P	dividend reinvestments	$1,001 - $15,000
	Legg Mason Special Investment Trust	P	dividend reinvestments	$1,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Tim Holden

Page 6 of 7

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Burlington Northern Sante Fe (BNSF) & The American Association of Railroads	July 5-9	Reading, PA -- Casper, Cody and Jackson Hole, Wyoming -- Philadelphia, PA/Washington, D.C.	Y	Y	Y	N/A
National Association of Counities	July 13-14	DC -- Philadelphia, PA -- St. Clair, PA	Y	N	Y	N/A

SCHEDULE VIII - POSITIONS

Name Tim Holden	Page 7 of 7

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or any business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States. Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Advisory Board Member	Penn State Washington Intern Program

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

HAND DELIVERED
⑨
EGISLATIVE RESOURCE CENTER
2002 MAY 15 PM 4:38
OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES
(Office Use Only)
MC

Rush D. Holt
(Full Name)

PO Box 782 Pennington NJ 08534
(Mailing Address)

Daytime Telephone 609-737-2343

Filer Status: ☐ Member of the U.S. House of Representatives State: NJ District: 12 ☐ Officer or Employee Employing Office:

Report Type: ☐ [✓ Annual (May 15)] ☐ Amendment ☐ Termination Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.** Yes ☒ No ☐

II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.** Yes ☒ No ☐

III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.** Yes ☒ No ☐

IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.** Yes ☐ No ☒

V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.** Yes ☐ No ☒

VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.** Yes ☐ No ☒

VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.** Yes ☒ No ☐

VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.** Yes ☒ No ☐

IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.** Yes ☐ No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child? Yes ☐ No ☒

EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption? Yes ☐ No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Rush Holt	May 13, 2002

Name Rush Holt

Page 2 of 9

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	Princeton Medical Center	Spouse Salary	NA

For payments to charity in lieu of honoraria, use Schedule II.

Name Rush Holt

Page 3 of 9

SCHEDULE II — PAYMENTS IN LIEU OF HONORARIA MADE TO CHARITY

List the source, activity (i.e., speech, appearance, or article), date, and amount of any payment made by the sponsor of an event to a charitable organization in lieu of an honorarium. A separate confidential list of charities receiving such payments must be filed directly with the Committee on Standards of Official Conduct. An envelope for transmitting the list is included in each Member's filing package.

	Source	Activity	Date	Amount
Examples:	Association of American Associations, Wash., D.C. XYZ Magazine	Speech Article	Feb. 2, 2001 Aug. 13, 2001	$2,000 $500
	The Pennington School	Speech	June 9, 2001	500

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Name Rush Holt

Page 4 of 9

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VI $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP,	SP Mega Corp. Stock					X								X										X								P
DC,	Examples: Simon & Schuster		Indefinite																	Royalties									X			
JT	1st Bank of Paducah, KY accounts						X									X										X						
JT	First Union Bank/checking				X											X							X									
JT	Fleet Bank				X											X						X										
JT	Charter One Bank/checking			X												X						X										
JT	Rental House 273 Penn. Rocky Hill Pennington NJ						X								X											X						
	Summer cabin Old Hawkeye Rd Ausable Forks NY						X								X										X							
JT	Congressional Credit Union			X												X						X										

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name

Page 5 of 9

	BLOCK A	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT	Asset and/or Income Source	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Vanguard Windsor Retirement fund					X								X			X				NA											
	TIAA/CREF Retirement						X							X			X				NA											
	Federal Retirement fund																															
	Froelich Land trust														X									X								
Sp	Fidelity IRA			X										X			X				NA											
Sp	Fidelity 403(b)					X								X			X				NA											
Sp	Prudential 403(b)			X										X			X				NA											
Sp	TIAA/CREF							X						X			X				NA											
Sp	Farm Share, Lancefield Farm Amity Oregon						X													Farm income					X							

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Name Rusn Holt

Page 6 of 9

SCHEDULE IV — TRANSACTIONS

Report any purchase, sale, or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

			Type of Transaction			Date	Amount of Transaction									
			PURCHASE	SALE	EXCHANGE	(MO/DAY/YR)	B $1,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
SP, DC, JT	Asset															
SP	*Example:*	Mega Corporation Common Stock	X			10–12–01		X								
	NA															

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SCHEDULE V — LIABILITIES

Name Rush Holt

Page 7 of 9

Report liabilities of over $10,000 owed to any one creditor ***at any time*** during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. **Exclude:** Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of you or your spouse. Report ***revolving charge accounts*** only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability									
			B $10,001–$15,000	C $15,001–$50,000	D $50,001–$100,000	E $100,001–$250,000	F $250,001–$500,000	G $500,001–$1,000,000	H $1,000,001–$5,000,000	I $5,000,001–$25,000,000	J $25,000,001–$50,000,000	K Over $50,000,000
	Example: First Bank of Wilmington, Delaware	Mortgage on 123 Main St., Dover, Del.				X						
	NA											

SCHEDULE VI — GIFTS

Report the source, a brief description, and the value of all gifts totalling more than $260 received by you, your spouse, or a dependent child from any source during the year.

Exclude: Gifts from relatives, gifts of personal hospitality of an individual, local meals, and gifts to a spouse or dependent child that are totally independent of his or her relationship to you. Gifts with a value of $104 or less need not be added towards the $260 disclosure threshold.

Note: The gift rule (House Rule 25, clause 5) prohibits acceptance of gifts except as specifically provided in the rule.

Source	Description	Value
Example: Mr. Joseph H. Smith, Anytown, Anystate	Silver Platter (determination on personal friendship received from Committee on Standards)	$270
NA		

Use additional sheets if more space is required.

Name Rush Holt

Page 8 of 9

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	Indian CII	1/6/01 – 1/18/01	Wash. DC – New Delhi – Wash DC	y	y	y	0
	Aspen Institute (Bipartisan Cong'l Retreat)	3/9 - 3/11/11	DC – White Sulphur Springs WV – DC	y	y	y	0

This page may be copied if more space is required.

Name Rush Holt	Page 9 of 9

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Board of Trustees	Family + Children's Services of Central NJ
Board of Trustees	Planned Parenthood of Mercer County
Board of Trustees	McCarter Theater / Princeton

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement
	NA	

GPO: 2002 77-791 (mao)

Use additional sheets if more space is required.

RUSH HOLT
Twelfth District, New Jersey

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202-225-5801
Fax 202-225-6025

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Congress of the United States

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Committee on Education
and the Workforce

Committee on the Budget

Committee on Resources

Member
Congressional Arts Caucus
Congressional Working Group on Children
Congressional Fire Services Caucus
Sustainable Development Caucus
Internet Caucus
Law Enforcement Caucus

May 20, 2002

LEGISLATIVE RESOURCE CENTER
2002 MAY 21 AM 10: 27
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U.S. HOUSE OF REPRESENTATIVES

✓
MC

Hon. Jeff Trandahl
Clerk of the House
H-154 Capitol

Dear Mr. Trandahl:

Please amend Schedule VII of my 2001 Financial Disclosure Statement. The final column of the entry for the India CII trip should be 3 days not at sponsor's expense instead of 0.

Thank you for your assistance in this matter.

Sincerely,

Rush Holt
RUSH HOLT

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

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LEGISLATIVE RESOURCE CENTER

③

2002 MAY 14 PM 4:28

OFFICE OF THE CLERK
U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

MC

Michael M. Honda
(Full Name)

6154 Valley Glen Dr.
(Mailing Address)

San Jose, CA. 95123

Daytime Telephone: (202)225-2631

Filer Status	☒ Member of the U.S. House of Representatives — State: CA District: 15	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒	No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**		

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Michael Honda	5/14/02

Name Michael M. Honda **Page** 2 of __

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totaling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	U.S. House of Representatives	Salary	$150,000
	Oak Grove School District, San Jose, CA.	Spouse Salary	N/A

For payments to charity in lieu of honoraria, use Schedule II.

Name Michael M. Honda

Page 3 of ___

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

BLOCK A

Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B

Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C

Type of Income

BLOCK D

Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E

Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	Block A	A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
Examples: SP	Mega Corp. Stock					X								X										X								P
Examples:	Simon & Schuster		Indefinite																	Royalties									X			
Examples:	1st Bank of Paducah, KY accounts						X									X										X						
JT	Parcel #0420271130000 Co. of San Bernadino			X																N/A	N/A											
JT	Keystone/Evergreen Small Co. Growth A			X										X												X						
JT	Fidelity Advisor Funds (Growth Opp. Class T)			X										X									X									
JT	Fidelity Advisor Funds (Equity Growth Class T)				X									X											X							
SP	American Life Financial Ins. Co. and Annuity					X														N/A	N/A											
SP	American Financial Life & Annuity Insurance Co.			X																unrealized gain						X						

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name Michael M. Honda

Page 4 of ___

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A	B	C	D	E	F	G	H	I	J	K	L								I	II	III	IV	V	VI	VII	VIII	IX	X	XI	P, S, E
		None	$1 - $1,000	$1,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $250,000	$250,001 - $500,000	$500,001 - $1,000,000	$1,000,001 - $5,000,000	$5,000,001 - $25,000,000	$25,000,001 - $50,000,000	Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	None	$1 - $200	$201 - $1,000	$1,001 - $2,500	$2,501 - $5,000	$5,001 - $15,000	$15,001 - $50,000	$50,001 - $100,000	$100,001 - $1,000,000	$1,000,001 - $5,000,000	Over $5,000,000	
SP	S.T.R.S					X														N/A												
SP	Sun Life of Canada			X																unrealized gain			X									
	Sun Life of Canada				X															unrealized gain				X								
	American Financial Life & Annuity Insurance Co.					X														unrealized gain					X							
	S.T.R.S						X													N/A												
	P.E.R.S				X															N/A												
	International County/City Managers Assoc. (Formerly Wells Fargo)					X														Deferred income												
JT	Provident Central Credit Union				X											X							X									
	The Golden 1 Credit Union			X												X							X									

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Name Michael M. Honda

Page 5 **of** _

SCHEDULE VII —TRAVEL PAYMENTS AND REIMBURSEMENTS

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor.

Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C. § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

	Source	Date(s)	Point of Departure—Destination—Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Examples:	Chicago Chamber of Commerce	Mar. 2	Wash., D.C.—Chicago—Wash., D.C.	N	N	N	N
	Roycroft Corporation	Aug. 6–11	Wash., D.C.—Los Angeles—Cleveland	Y	Y	Y	2 Days
	2001 Aspen Institute Cong. Retreat	Mar 9-11	Wash D.C-W. VA - Wash. D.C	Y	Y	N	N
	Japanese American Citizens League Tri District Conference	Apr. 21	San Jose,CA - Reno, NV-SJ	N	Y	N	N
	Organization of Chinese Americans Conference	July 27-29	Wash. D.C- Seattle, WA- D.C	Y	Y	N	1/2 day
	CA State Friendship Committee China Trip	Aug. 4-12	San Fran, CA - Beijing-Nanjing-Shanghai - San Francisco,CA	Y	Y	Y	N
	US/Japan 21st century Project conference	Sept 6-9	Wash DC - San Francisco, CA - Wash DC	Y	Y	N	1/2 Day

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

Page 1 of 6

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2002 MAY 14 PM 5:48
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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

Darlene Hooley
(Full Name)

6404 Failing Street West Linn, OR 97068
(Mailing Address)

202-225-5711
(Daytime Telephone)

Filer Status	☑ Member of the U.S. House of Representatives	State: OR District: 5	☐ Officer Or Employee — Employing Office:
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☑	No ☐
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☑
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts--	**Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?**	Yes ☐	No ☑
Exemptions--	**Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?**	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Darlene Hooley	5/14/02

SCHEDULE I - EARNED INCOME

Name Darlene Hooley

Page 2 of 6

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

Source	Type	Amount
State of Oregon	Retirement	$34,002.57

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Darlene Hooley

Page 3 of 6

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.	BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
Fidelity Investment	$1,001 - $15,000	DIVIDENDS/INTEREST	$1 - $200	
Portland Teachers Credit Union	$1,001 - $15,000	INTEREST	$1 - $200	
AETNA	$100,001 - $250,000	Other: (Please specify) Tax Deferred Annuity	N/A	
Westport Oil	$1,001 - $15,000	Other: (Please specify) Royalty	$1,001 - $2,500	
US Bank Trust	$1,001 - $15,000	INTEREST	$1 - $200	
PERS	None	NA	NONE	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name Darlene Hooley

Page 4 of 6

	Wright Patman Congressional Federal Credit Union	$1 - $1,000	INTEREST	$1 - $200	
	Sutro & Co. Inc: C/F IRA Rollover	$50,001 - $100,000	INTEREST/DIVIDENDS	$1,001 - $2,500	
	Sutro Savings Account	$1,001 - $15,000	INTEREST	$201 - $1,000	

SCHEDULE V - LIABILITIES

Name Darlene Hooley

Page 5 of 6

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
	VISA	Charge Account	$10,001 - $15,000
	Portland Teachers Credit Union	Home Improvement Loan	$15,001 - $50,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name Darlene Hooley

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
Democratic Leadership Conference	May 10-13, 2001	DC-FL-DC	Y	Y	Y	None

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

STEPHEN HORN
(Full Name)

3944 Pine Avenue
Long Beach California 90807
(Mailing Address)

Daytime Telephone: (202)225-6676

A $200 *penalty* shall be assessed against anyone who files more than 30 days late.

Filer Status	☒ Member of the U.S. House of Representatives — State: CA District: 38	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒	No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☒
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒	No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☐	No ☒
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☐	No ☒
VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☒
VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☐	No ☒
VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☒
IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☒

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION — ANSWER EACH OF THESE QUESTIONS

TRUSTS—Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☒
EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☒

CERTIFICATION — THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (*See* 5 U.S.C. app. 4, § 104 and 18 U.S.C. §1001).

Certification	Signature of Reporting Individual	Date *(Month, Day, Year)*
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	Stephen Horn	May 11, 2002

Name STEPHEN HORN	**Page** 2 **of** 5

SCHEDULE I — EARNED INCOME

List the source, type, and amount of earned income from any source (other than the filer's current employment by the U.S. Government) totalling $200 or more during the preceding calendar year. For a spouse, list the source and amount of any honoraria; list only the source for other spouse earned income exceeding $1,000.

	Source	Type	Amount
Examples:	Keene State	Approved Teaching Fee	$6,000
	State of Maryland	Legislative Pension	$9,000
	Civil War Roundtable (Oct. 2nd)	Spouse Speech	$1,000
	Ontario County Board of Education	Spouse Salary	NA
	State of California	pension	$53,952(gross

For payments to charity in lieu of honoraria, use Schedule II.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Name STEPHEN HORN

Page 3 of 5

BLOCK A — Asset and/or Income Source

Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self-directed IRA (i.e., one where you have the power to select the specific investments), provide information on *each asset* in the account that exceeds the reporting threshold, and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see the instruction booklet for the reporting year.

Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs.

If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.

BLOCK B — Value of Asset

at close of reporting year.

If you use a valuation method other than fair market value, please specify the method used.

If an asset was sold and is included only because it generated income, the value should be "None."

BLOCK C — Type of Income

BLOCK D — Amount of Income

For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.

BLOCK E — Transaction

Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.

SP, DC, JT	BLOCK A	BLOCK B												BLOCK C							BLOCK D											BLOCK E
		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify: For Example, Partnership Income or Farm Income)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
SP	Examples: Mega Corp. Stock					X								X										X								P
	Examples: Simon & Schuster		Indefinite																	Royalties									X			
	Examples: 1st Bank of Paducah, KY accounts						X									X										X						
	Salomon Smith Barney (IRA)			x										x		x	x						x									
SP	Salomon Smith Barney (IRA)			x										x		x	x						x									
	TIAA-CREF Annuity							x								x					NA											
	TIAA-CREF IRA															x					NA											

For additional assets and unearned income, use next page.

SCHEDULE III — ASSETS AND "UNEARNED" INCOME

Continuation Sheet (if needed)

Name STEPHEN HORN

Page 4 of 5

	BLOCK A Asset and/or Income Source	BLOCK B Year-End Value of Asset												BLOCK C Type of Income							BLOCK D Amount of Income											BLOCK E Transaction
SP, DC, JT		A None	B $1 – $1,000	C $1,001 – $15,000	D $15,001 – $50,000	E $50,001 – $100,000	F $100,001 – $250,000	G $250,001 – $500,000	H $500,001 – $1,000,000	I $1,000,001 – $5,000,000	J $5,000,001 – $25,000,000	K $25,000,001 – $50,000,000	L Over $50,000,000	DIVIDENDS	RENT	INTEREST	CAPITAL GAINS	EXCEPTED TRUST	QUALIFIED BLIND TRUST	Other Type of Income (Specify)	I None	II $1 – $200	III $201 – $1,000	IV $1,001 – $2,500	V $2,501 – $5,000	VI $5,001 – $15,000	VII $15,001 – $50,000	VIII $50,001 – $100,000	IX $100,001 – $1,000,000	X $1,000,001 – $5,000,000	XI Over $5,000,000	P, S, E
	Pacific Life Ins. Co.							x								x					NA											
JT	Bank of America savings			x												x							x									
SP	Vanguard Money Market				x											x							x									
JT	Wr.Patman Credit Union (savings)			x												x							x									
	Boston Financial		x																			x										Sold
JT	Bank of America (CD)			x												x							x									

This page may be copied if more space is required.

Name STEPHEN HORN	Page 5 of 5

SCHEDULE VIII — POSITIONS

Report all positions, compensated or uncompensated, held during the current calendar year as an officer, director, trustee of an organization, partner, proprietor, representative, employee, or consultant of any corporation, firm, partnership, or other business enterprise, any nonprofit organization, any labor organization, or any educational or other institution other than the United States.

Exclude: Positions held in any religious, social, fraternal, or political entities; positions solely of an honorary nature; and positions listed on Schedule I.

Position	Name of Organization
Director	Kutak Foundation, Omaha, Nebraska (uncompensated)

SCHEDULE IX — AGREEMENTS

Identify the date, parties to, and general terms of any agreement or arrangement with respect to: future employment; a leave of absence during the period of government service; continuation or deferral of payments by a former or current employer other than the U.S. Government; or continuing participation in an employee welfare or benefit plan maintained by a former employer.

Date	Parties To	Terms of Agreement

GPO: 2002 77-791 (mad)

Use additional sheets if more space is required.

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UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A

For use by Members, officers, and employees

Page 1 of 6

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U.S. HOUSE OF REPRESENTATIVES

(Office Use Only)

John Nathan Hostettler
(Full Name)

1507 Longworth Building Washington, DC 20515
(Mailing Address)

202-225-4636
Daytime Telephone:

Filer Status	☑ Member of the U.S. House of Representatives	State: IN District: 08	☐ Officer Or Employee	Employing Office
Report Type	☑ Annual (May 15)	☐ Amendment	☐ Termination	Termination Date:

A $200 penalty shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION -- ANSWER EACH OF THESE QUESTIONS

I.	Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☐	No ☑
II.	Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐	No ☑
III.	Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☑	No ☐
IV.	Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☑	No ☐
V.	Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☑	No ☐
VI.	Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☐	No ☑
VII.	Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☑	No ☐
VIII.	Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☐	No ☑
IX.	Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☐	No ☑

Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.

EXCLUSION OF SPOUSE, DEPENDENT, OR TRUST INFORMATION -- ANSWER EACH OF THESE QUESTIONS

Trusts-	Details regarding "Qualified Blind Trusts" approved by the Committee on Standards of Official Conduct and certain other "excepted trusts" need not be disclosed. Have you excluded from this report details of such a trust benefiting you, your spouse, or dependent child?	Yes ☐	No ☑
Exemptions--	Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐	No ☑

CERTIFICATION -- THIS DOCUMENT MUST BE SIGNED BY THE REPORTING INDIVIDUAL AND DATED

This Financial Disclosure Statement is required by the Ethics in Government Act of 1978, as amended. The Statement will be available to any requesting person upon written application and will be reviewed by the Committee on Standards of Official Conduct or its designee. Any individual who knowingly and willfully falsifies, or who knowingly and willfully fails to file this report may be subject to civil penalties and criminal sanctions (See 5 U.S.C. app. 4, § 104 and U.S.C. § 1001).

Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.	John N. Hostettler	5/15/02

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Nathan Hostettler

Page 2 of 6

BLOCK A **Asset and/or Income Source** Identify (a) each asset held for investment or production of income with a fair market value exceeding $1,000 at the end of the reporting period, and (b) any other asset or source of income which generated more than $200 in "unearned" income during the year. For rental property or land, provide an address. Provide full names of any mutual funds. For a self directed IRA (i.e., one where you have the power to select the specific investments) provide information on each asset in the account that exceeds the reporting threshold and the income earned for the account. For an IRA or retirement plan that is not self-directed, name the institution holding the account and provide its value at the end of the reporting period. For an active business that is not publicly traded, in Block A state the nature of the business and its geographic location. For additional information, see instruction booklet for the reporting year. Exclude: Your personal residence(s) (unless there is rental income); any debt owed to you by your spouse, or by your or your spouse's child, parent, or sibling; any deposits totaling $5,000 or less in personal savings accounts; any financial interest in or income derived from U.S. Government retirement programs. If you so choose, you may indicate that an asset or income source is that of your spouse (SP) or dependent child (DC) or is jointly held (JT), in the optional column on the far left.		BLOCK B **Year-End Value of Asset** at close of reporting year. If you use a valuation method other than fair market value, please specify the method used. If an asset was sold and is included only because it is generated income, the value should be "None."	BLOCK C **Type of Income** If other than one of the listed categories, specify the type of income by writing a brief description in this block. (For example: Partnership Income or Farm Income)	BLOCK D **Amount of Income** For retirement plans or accounts that do not allow you to choose specific investments, you may write "NA" for income. For all other assets, indicate the category of income by checking the appropriate box below. Dividends, even if reinvested, should be listed as income.	BLOCK E **Transaction** Indicate if asset was purchased (P), sold (S), or exchanged (E) in reporting year.
JT	Boeing Co. Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	Edison International Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	Exxon Corp. Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	General Electric Stock	$1,001 - $15,000	DIVIDENDS	$1 - $200	
JT	RJR Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	Fortune Brands Stock	$1 - $1,000	DIVIDENDS	$1 - $200	

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

Name John Nathan Hostettler

Page 3 of 6

JT	Gallaher Group Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	Bristol Meyers Squibb Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	IBM Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	Key Corp Stock	$1 - $1,000	DIVIDENDS	$1 - $200	
JT	Zimmer Holdings, INC (Split from Bristol-Myers Stock)	$1 - $1,000	DIVIDENDS/Other: And Cash in lieu of purchase	$1 - $200	

SCHEDULE IV - TRANSACTIONS

Name John Nathan Hostettler

Page 4 of 6

Report any purchase, sale or exchange by you, your spouse, or dependent child during the reporting year of any real property, stocks, bonds, commodities futures, or other securities when the amount of the transaction or series of transactions exceeded $1,000. Include transactions that resulted in a loss. Do not report a transaction between you, your spouse, or your dependent child, or the purchase or sale of your personal residence, unless it is rented out.

SP, DC, JT	Asset	Type of Transaction	Date	Amount of Transaction
JT	Zimmer Holdings, INC (Split from Bristol-Myers Stock)	P	8/6/01	$136

SCHEDULE V - LIABILITIES

Name John Nathan Hostettler

Page 5 of 6

Report liabilities of over $10,000 owed to any one creditor at any time during the reporting period by you, your spouse, or dependent child. Mark the highest amount owed during the year. Exclude: Any mortgage on your personal residence (unless it is rented out); loans secured by automobiles, household furniture, or appliances; and liabilities owed to a spouse, or the child, parent, or sibling of your or your spouse. Report "revolving charge accounts" only if the balance at the close of the preceding calendar year exceeded $10,000.

SP, DC, JT	Creditor	Type of Liability	Amount of Liability
JT	Evansville Teachers Federal Credit Union	Visa Credit Card	$15,001 - $50,000
JT	Citibank	Mastercard Credit Card	$10,001 - $15,000
JT	American General Finance	Credit Account	$10,001 - $15,000
JT	First Union Bank, N.A.	Mastercard Credit Card	$10,001 - $15,000

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Name John Nathan Hostettler

Page 6 of 6

Identify the source and list travel itinerary, dates, and nature of expenses provided for travel and travel-related expenses totalling more than $260 received by you, your spouse, or a dependent child during the reporting period. Indicate whether a family member accompanied the traveler at the sponsor's expense, and the amount of time, if any, that was not at the sponsor's expense. Disclosure is required regardless of whether the expenses were reimbursed or paid directly by the sponsor. Exclude: Travel-related expenses provided by federal, state, and local governments, or by a foreign government required to be separately reported under the Foreign Gifts and Decorations Act (5 U.S.C § 7342); political travel that is required to be reported under the Federal Election Campaign Act; travel provided to a spouse or dependent child that is totally independent of his or her relationship to you.

Source	Date(s)	Point of Departure--Destination--Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was a Family Member Included? (Y/N)	Any time not at sponsor's expense
The Heritage Foundation	Jan. 4 -5, 2001	Wash., D.C. - Baltimore, MD	Y	Y	N	N/A

UNITED STATES HOUSE OF REPRESENTATIVES

FINANCIAL DISCLOSURE STATEMENT FOR CALENDAR YEAR 2001

FORM A
For use by Members, officers, and employees

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U.S. HOUSE OF REPRESENTATIVES
(364)
MC
(Office Use Only)

Amory Houghton, Jr. (Full Name)
80 E. Market Street, Suite 300 (Mailing Address)
Corning, New York 14830
Daytime Telephone: (202) 225-3161

Filer Status	☒ Member of the U.S. House of Representatives — State: New York District: 31st	☐ Officer or Employee	Employing Office:
Report Type	☒ Annual (May 15)	☐ Amendment	☐ Termination — Termination Date:

A *$200 penalty* shall be assessed against anyone who files more than 30 days late.

PRELIMINARY INFORMATION — ANSWER EACH OF THESE QUESTIONS

I. Did you or your spouse have "earned" income (e.g., salaries or fees) of $200 or more from any source in the reporting period? **If yes, complete and attach Schedule I.**	Yes ☒ No ☐	VI. Did you, your spouse, or a dependent child receive any reportable gift in the reporting period (i.e., aggregating more than $260 and not otherwise exempt)? **If yes, complete and attach Schedule VI.**	Yes ☒ No ☐
II. Did any individual or organization make a donation to charity in lieu of paying you for a speech, appearance, or article in the reporting period? **If yes, complete and attach Schedule II.**	Yes ☐ No ☒	VII. Did you, your spouse, or a dependent child receive any reportable travel or reimbursements for travel in the reporting period (worth more than $260 from one source)? **If yes, complete and attach Schedule VII.**	Yes ☒ No ☐
III. Did you, your spouse, or a dependent child receive "unearned" income of more than $200 in the reporting period or hold any reportable asset worth more than $1,000 at the end of the period? **If yes, complete and attach Schedule III.**	Yes ☒ No ☐	VIII. Did you hold any reportable positions on or before the date of filing in the current calendar year? **If yes, complete and attach Schedule VIII.**	Yes ☒ No ☐
IV. Did you, your spouse, or dependent child purchase, sell, or exchange any reportable asset in a transaction exceeding $1,000 during the reporting period? **If yes, complete and attach Schedule IV.**	Yes ☒ No ☐	IX. Did you have any reportable agreement or arrangement with an outside entity? **If yes, complete and attach Schedule IX.**	Yes ☒ No ☐
V. Did you, your spouse, or a dependent child have any reportable liability (more than $10,000) during the reporting period? **If yes, complete and attach Schedule V.**	Yes ☒ No ☐	**Each question in this part must be answered and the appropriate schedule attached for each "Yes" response.**	

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EXEMPTION—Have you excluded from this report any other assets, "unearned" income, transactions, or liabilities of a spouse or dependent child because they meet all three tests for exemption?	Yes ☐ No ☒

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Certification	Signature of Reporting Individual	Date (Month, Day, Year)
I CERTIFY that the statements I have made on this form and all attached schedules are true, complete and correct to the best of my knowledge and belief.		5/15/02

SCHEDULE I - EARNED INCOME

Source and Type	Amount
Corning Incorporated:	
Income (in-kind):	
Value of secretarial services provided by former employer for whom consulting services are provided without monetary compensation (income in-kind, in excess of the 2001 outside earned income limit of $21,765, is offset by 2001 donations to qualified charitable organizations in the amount of $178,262)	$ 88,837
Trustee and Executor Commissions (commissions represent personal services provided to protect family resources, amounts not subject to outside earned income limit):	
L.H. Beer Trust 12/10/34	16,439
J.R. Houghton Trust 12/10/34	16,230
A.B. Houghton Trust 12/10/34	11,183
A. Houghton Jr. Trust 12/10/34	12,362
E.H. Weinberg Trust 12/10/34	11,199
A.S. Lassalle Trust 1/20/79	1,370
G.H. Lassalle Trust 11/21/78	4,791
H.D. Houghton Trust 12/22/61	6,859
M.T. Mowbray Trust U/W G.B. Hollister	3,731
H.M. Carter Trust U/W G.B. Hollister	3,428
M.T. Mowbray Trust 4/18/46	781
B.H. Brakenridge Trust 4/18/46	662
B. Hollister Jr. Trust 4/18/46	783
P.H. Mowbray Trust U/W H.C. Hollister	2,383
B. Hollister Trust U/W H.C. Hollister	2,357
P.J. Allatt Jr. Trust 8/15/49	4,958
J.W. Hollister Trust U/W G.B. Hollister	2,937
B.H. Brakenridge Trust U/W G.B. Hollister	2,678
B. Hollister Jr. Trust U/W G.B. Hollister	2,486
H.M. Carter Trust 4/18/46	780
B.G. Ooten Trust 4/21/65	1,978
M.A. Keaton Trust 1/22/64	2,011
M.A. Keaton Trust 6/24/63	1,533
E.M. OeDell Trust 6/24/63	1,458
E. Houghton Trust 12/10/34	19,101
E.A. Ray Trust 12/10/34	15,210
E.H. Cole Trust 12/10/34	18,410
	$ 168,098

SCHEDULE III - ASSETS AND "UNEARNED" INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Debt Securities:					
Augusta National Inc. - building certificate - Series B	B		None	None	

SCHEDULE III - ASSETS AND UNEARNED INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Equity Securities:					
Citigroup, Inc. – common stock	G		Dividend	V	
Corning Incorporated - common stock	I		Dividend	VII	Gift, E
Gemstar T.V. Guide International, Inc. (formally Gemstar International Group Ltd.)	D		None	None	
Market Street Trust Company - common stock, Corning, NY	C		Dividend	I	
Market Street Partners LLC, Corning NY	F		Interest	II	
Procter & Gamble - common stock (sold in 2001)	A		Dividend Capital Gain	III VII	S
Sun Microsystems - common stock	F		None	None	
MetLife, Inc.	C		None	None	P
Kittansett Club Voting Trust	C		None	None	
Moisie Salmon Club Class A and B	C		None	None	
U.S. Government Obligations:					
Savings bonds series E & EE	C		Interest	III	
Other:					
JPMorgan Chase Bank, New York, NY	F		Interest	VI	
Chase Manhattan Bank, N.A., New Hyde Park, NY (combined into JPMorgan Chase Bank account during 2001)	A		Interest	I	
Citibank, N.A., New York, NY	E		Interest	III	
Corning Federal Credit Union, Corning, NY	C		Interest	II	
Fleet Bank, N.A., Quincy, MA	C		Interest	II	
76-78 East Market Street (investment property), Corning, NY	G		Rent	VII	
Congressional Federal Credit Union, Washington, DC	D		Interest	II	
Hingham Institution for Savings, Hingham, MA	C		Interest	II	
M&T Bank, Corning, NY	E		None		
Notes receivable - RGD Consulting Group, Elmira, NY	C		Interest	I	
Notes receivable - Nancy M. MacCraig, Corning, NY	C		Interest	I	
Notes receivable – Moisie River Fishing Camp (paid in full during 2001)	A		Interest	I	
Notes receivable - Friends of Houghton	F		Interest	I	
GMO Emerging Markets Fund III - mutual fund, Boston, MA (exchanged and sold in 2001)	A		Dividend	I	E, S
GMO Foreign Fund III – mutual fund, Boston, MA (exchanged and sold in 2001)	A		Dividend	I	E, S
Harbor International Fund, equity mutual fund, Toledo, OH	C		Dividend Capital Gain	II V	E, S

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Longleaf Partners Fund, mutual fund, Kansas City, MO	D		Dividend Capital Gain	III III	P
Morgan Stanley Dean Witter Emerging Markets Fund, mutual fund, Chicago, IL (exchanged and sold in 2001)	A		Dividend	I	E, S
Vanguard Extended Market Portfolio, mutual fund, Philadelphia, PA	C		Dividend Capital Gain	II IV	E, S
Vanguard Institutional Index Funds, mutual fund, Philadelphia, PA (exchanged and sold in 2001)	A		Dividend	III	E, S
Vanguard Mid-Cap Index Fund Institutional, mutual fund, Philadelphia, PA (exchanged and sold in 2001)	A		Dividend Capital Gain	I IV	E, S
Westport Small Capital Fund, mutual fund, Westport, CT (exchanged and sold in 2001)	A		Dividend Capital Gain	I V	E, S
Dividend receivable, Harbor International, mutual fund	B				
Dividend receivable, Vanguard Extended Market Portfolio, mutual fund	B				
Dividend receivable, Longleaf Partners Fund, mutual fund	B				
Dividend receivable, JPMorgan Federal Money Market Fund	B				
Partnerships:					
Corning Associates II, managed by Aicre Realty, rental of office building, 41 State Street, Albany, NY (share - 0%) (partnership dissolved in 2000, final distribution made in 2001)	A	(1)	Partnership	I	
Acorn IV, a general partnership which is the sole limited partner in Whitehall LTD, a partnership holding a real estate investment in vacant land within Walnut Creek Industrial Park, Austin, TX (share – 19.60%)	F	(2)	Partnership	I	
Bradford Gordon 1990-3, limited partnership organized to acquire royalty, mineral or other nonoperating interests in natural gas properites primarily in Michigan (share - 3.72%)	C	(2)	Partnership	I	

(1) Valuation method – original investment, plus/less any additional capital contributed/withdrawn since inception.

(2) Valuation method – original investment, plus/less any additional capital contributed/withdrawn and income/loss since inception.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Mutual Benefit Theatre Partners, L.P.III, a partnership formed to finance the live stage threatrical production and presentation of musical and dramatic plays selected and produced by The Really Useful Threatre Co., Inc., Newark, NJ (dissolved in 2001)	A	(2)	Partnership	I	
Bradford Gordon 1992-2, limited partnership organized to acquire royalty, mineral or other non-operating interests in natural gas properties primarily in Michigan (share - 8.18%)	C	(2)	Partnership	I	
Bradford Gordon 1996-1, limited partnership organized to acquire royalty, minerals or other non-operating interests in natural gas properties primarily in Michigan (share - 5.62%)	C	(2)	Partnership	I	
Real Estate:					
Farmland, Millis, Mass. (inadvertently omitted in prior years)	C	(4)	Farm	III	
Trusts:					
Market Street Equity Trust I (MSETI) - Delaware business trust - investments include Ashford Capital Partners Limited Partnership, with investments in portfolio companies including: Abgenix, Inc., Applied Biosystem Group, Actel Corp., Adolor Corp., Federal Agricultural Mortgage, Armor Holdings, Inc., Allied Capital Corp., Ambassadors International, Inc., Balchem Corp. Class B, Brown & Brown, Inc., Cephalon, Inc., Collagenex Pharmaceuticals, Inc., Clarus Corp., Central Parking Corp., Copart, Inc., Celera Genomics Group, CoStar Group, Inc., CSG Systems International, Inc., Cousins Properties, Inc., Corvas International, Inc., Duratek, Inc., EPIQ Systems, Inc., Equinix, Inc., FTI					

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(2) See explanation at page 3 of 26.

(4) Valuation method – assessed value for tax purposes.

Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Consulting, Inc., F Y I, Inc., Glenborough Realty Trust, Inc.,Globespan Virata, Inc., Inhale Therapeutic Systems, Inc., Int'l Rectifier Corp., CB Cephalon, Inc., International Speedway Corp., Integral Systems, Inc., Kronos, Inc., Kaiser Ventures, Inc., Multi-Color Corp., Littlefuse, Inc., Mapinfo Corp., Mercury Computer Systems, Inc., Myriad Genetics, Inc., Navigators Group, Inc., Philadelphia Consolidated Holding Corp., Penwest Pharmaceuticals Co., Pre Paid Legal Services, Inc., Pharmaceutical Resources, Inc., Pheonix Technologies LTD, Cash America Investments, Inc., Quovadx, Inc., Aaron Rents, Inc., Systems & Computer Tech Corp., Sepracor, Inc., Safenet, Inc., Silicon Valley Bancshares, Sylvan Learning Systems, Inc., Talx Corp., Medallion Financial Corp., Texas Biotechnology Corp., Valassis Communication, Vical, Inc., Virage Logic Corp., Visual Networks, Inc., Valuevision International, Inc., and JP Morgan Money Market Sweep Fund (share - .01%)					
Market Street Equity Trust II (MSETII) - Delaware business trust - investments include: common stock of Adaptec, Inc., AFC Enterprises, Inc., AGCO Corp., Applied Biosystems Group, Avocent Corp., AVX Corp., Best Buy, Inc., Boise Cascade Corp., Burlington Northern Santa Fe Corp., Brocade Communications Systems, Inc., Cambrex Corp., Compass Bancschares, Inc., Concord EPS, Inc., Conexant Systems, Inc., Choicepoint, Inc., CSX Corp., Community Health Systems, Inc., City National Corp., Darden Restaurants, Inc., Callaway Golf Co., Emulex Corp., Fairchild Semicon International, Inc., Filenet Corp., General Mills, Inc., General Motors Class H, Golden St. Bancorp, Inc., Globespan Virata, Inc., Healthsouth Corp., Intuit, Inc., Kopin Corp., LSI					

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(3) Valuation method – partner's share of market value of investments at December 31, 2001.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Logic Corp., Manhattan Associates, Inc., McCormick & Co., Marshall & Ilsley Corp., Myriad Genetics, Inc., Inco LTD, North Fork Bancorporation, Nvidia Corp., Palm, Inc., Pride International, Inc., Parker-Hannifin Corp., Potash Corp. Saskatchewan, Inc., Retek, Inc., Raytheon Co., Symbol Technologies, Inc., Semtech Corp., Southtrust Corp., Smurfit-Stone Container Corp., TCP Financial Corp., Terayon Communication Systems, Inc., Tenet Healthcare Corp., Tibco Software, Inc., Universal Health Services, Inc., Unit Corp., Vignette Corp., Veritas Software Corp., American International Group, Inc., Applied Materials, Inc., Citigroup, Inc., Ciena Corp., Cisco Systems, Inc., EMC Corp., JDS Uniphase Corp., Juniper Networks, Inc., Linear Technology Corp., Microsoft Corp., Maxim Integrated Products, Inc., Pfizer, Inc., PMC-Sierra, Inc., Vitesse Semiconductor Corp., Xilinx, Inc., Automatiac Data Processing, Inc., Dell Computer Corp., Walt Disney Co., First Data Corp., General Electric Co., Johnson & Johnson, Coca-Cola Co., Eli Lilly & Co., Medtronic, Inc., Merck & Co., Northern Trust Corp., New York Times Co., Omnicom Group, Inc., Starbucks Corp., Stryker Corp., State Street Corp., Sysco Corp., Viacom Non-Voting Common B, Walgreen Co., WM Wrigley Jr. Co. and JP Morgan Money Market Sweep Fund (share - .08%)	E	(3)	Trust	III	E, S
Market Street Telecommunications Trust I (MSTTI) - Delaware business trust -- investments include: Liberty Media Corp., Liberty Satellite & Tech, Inc., UnitedGlobalCom, Inc. Vodafone Group PLC and Western Wireless Corp. (share - .14%)	D	(3)	Trust	I	E

(3) See explanation at page 5 of 26.

SCHEDULE III – ASSETS AND UNEARNED INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Market Street Venture Trust I (MSVTI) - Delaware business trust – investments include: JP Morgan Funds, JP Morgan Money Market Sweep Funds, BCE Energis, Inc., Paradigm Genetics, Inc., Tibco Software, Inc., Boston Capital Ventures III LP (investments in portfolio companies including: Fast Channel, American Auto Funding Corp., Brand Direct Marketing, Inc., American Central Telephone, Child Health Systems, Inc., Conservation Tourism, Ltd., Cornerstone Brands, Inc., Exa Corp., nTouch, Intellon Corp., MediaCom, Inc., MedSpan, Inc., Mpower, Inc., Olympus Healthcare, Inc., Omnia, Inc., SCC Communications, Inc., Sensitech, Inc., Teltrac, Inc., RCN, Vectrix Corp., Vertex Holdings, Inc.), MSTC Fixed Income Trust I (see holdings listed below – share 4.96%), Paul Capital Partners V, LP (investments in portfolio companies at September 30, 2001 including: Assur-Investments, LLC, Financiere Tuileries-PV, LLC, Cedar Creek II, LP, Financiere Tuileries Holdings, LLC, Argencard, 4C Ventures, LP, Corporacion Borealis, Sun Hung Kai China Dev. Fund, CP Capital Partners, LP, ZS Mazal LP, North Castle Partners I, LP, JK&B Capital, Japan Australia, Argentina Private Equity Fund II, LP, Accel Japan LP, Ven-Sed I, Larimer Venture Management II, LP, Pallas Invest, SA, DTI Investors, LLC, ZS Mazel II, LP, Pallas Invest Iberian Fund, Finestpar, LLC, Accel Telecom, LP,North Castle Partners I-A, LLC, Industrial Venture Company, Philadelphia Ventures-Japan II, LP, Argentina Private Equity Fund I, LP, Venture Investments, Renovation Gestion, Hong Kong Venture Investment Trust, Supermarkets Holding, LP, AEA Cable Investors, LP, Argentina Private Equity Co-Invest Fund, Arral Pacific Equity Trust, Equimark, European Enterprise Investments, JAFCO Japan Venture Invest. Co. Ltd., Maloney Holding LP, Onset Partners, Philadelphia Ventures-Japan I, LP, Precision Film Venture I,					

SCHEDULE III – ASSETS AND UNEARNED INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Pusan Investment Partnership #2, ZS Kaye, LP), Boston Millennia Partners LP (investments in portfolio companies including: BrandDirect Marketing, Concentrix, Double Twist, Entigo, Global Sports, Hurwitz Group, InfoLibria, Inventa, iParty, Knowledge Impact, MedSpan, NuVox Communications, Oasis, OurHouse, Inc., PHT Corp., Proteome, Quintessent Commuications, SPSS (formerly NetGenesis), TechSmart, Teraphase Technologies, Inc., VIA NET.WORKS, WebCT, Yantra), CHL Medical Partners, LP (investments in portfolio companies including: American Renal Holding, LLC, Antex Biologics, Inc., ArQule, Inc., Boston Medical Technologies, Inc., Cellular Genomics, Inc., Comprehensive NeuroScience, Inc., Durect Corporation, Genomic Health, Inc., InfiMed Therapeutics, Inc., Molecular Staging, Inc., POINT Biomedical Corporation, Prolifix Medical, Inc., Protometrix, Inc., Revivant, Inc., RxCentric, Inc. SemperCare, Inc., Targesome, Inc.), Exeter Capital Partners IV, LP (investments in portfolio companies at September 30, 2001 including: TVC, Frontier Group, The Sheridan Group, Alarmguard, Quadrant, Kitchens, Linters, Inc., Progressive, Fed Corp., Brooks Equipment, Consolidated Delivery, Infobase Holdings, Northpoint Communications, Mail.Com, VisionPlay, Law Office Info. Systems, Horizon Foods, K-Media, United Pet Group, Boston Medical Tech., Duramax, Fibernet, Eloquent, N-K Lawn, RxCentric, Information Markets, Primetech, Retail Exchange.com, Questron Technology, Equinox Holdings, Inc., eNetworks, Inc., Il Fornaio America Corp.), Intersouth Partners IV LP (investments in portfolio companies including: Alerts.com, Inc., Tibco Software, Inc. (formerly Extensibility, Inc.), Plurimus Corporation (formerly Fovcon Corporation), Comstock Systems Corporation (formerly Iaxess Corporation), BCE Emergis, Inc.					

SCHEDULE III – ASSETS AND UNEARNED INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
(formerly InvoiceLink Corporation), OpenSite Technologies, Inc., Sentillion, Inc., Smart Path (formerly Marathon Innovations, Inc.), Biolex, Inc., Cogent Neuroscience, Inc., Encelle, Inc., InteCardia, Inc., Merix Bioscience, Inc., Paradigm Genetics, Inc., Xanthon, Inc.), Labrador Ventures IV, LP (investments in portfolio companies including: Atesto Technologies, Inc., Everyone.net, Inc., ezboard, Inc., GetRelevant, Inc., Green Border Technologies, Inc., Jareva Technologies, Inc., Kargo, San Jose Systems, Inc., TeraBurst Networks, Inc., Yube, Inc.), The Megunticook Fund II, LP (investments in portfolio companies including: Aegis Semiconductor, Inc., Analine.com, Inc., Datatrac Corporation, Data TV Networks, Inc., dBm Optics, Inc., Digital Reliance, Inc., IntelCore Technologies, Inc., MunicipalNet, Inc., QuantumClicks, Inc., Syncline.com, Inc., Translation Technologies, Inc.), The Megunticook Side Fund II, LP (investments in portfolio companies including: Aegis Semiconductor, Inc., Analine.com, Inc., Datatrac Corporation, Data TV Networks, Inc., dBm Optics, Inc., Digital Reliance, Inc., IntelCore Technologies, Inc., MunicipalNet, Inc., QuantumClicks, Inc., Syncline.com, Inc., Translation Technologies, Inc.), PCP Associates, LP (investments in portfolio companies at September 30, 2001 including: Financiere Tuileries P-VI, LLC, Paul Capital IC Holdings, LLC, Paul Capital JPMP, LLC, Vendome UK Limited, Assur-Investments, LLC, Nessie Limited, Matignon Investissements FCPR, BBI (BLE) Holdings, LLC, Cedar Creek II, LP, Sanderling Ventures Limited, North Castle Partners I, LLC, Boston Capital Ventures II, LP, Trinity Ventures V, LP, Boston Capital Ventures III, LP, JK&B Capital, LP, Trinity Ventures III, LP, North Castle Partners I-A, LP, Supermarkets Holding, LP), ZN Mexico Trust (investments in portfolio companies including: Desarrolladora Homex, S.A. de C.V., Aerobal, S.A. de C.V., UniversoE.com, Inc., Industrias Innopak S.A. de C.V., Adro Alimentos S.A. de C.V.), Tucker Anthony Private					

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Equity Fund II, LP (investments in portfolio companies at September 30, 2001 including: ABS Capital Partners III, LP, Advent Digital Media & Communications III, LP, Austin Ventures VI, LP, Battery Ventures V, LP, Cypress Merchant Banking Partners II, LP, Draper Fisher Jurvetson Fund VI, LP, Fox Paine Capital Fund I, LP, Frazier Healthcare III, LP, Halpern Denny Fund III, LP, Highland Capital Partners V, LP, Madison Dearborn Capital Partners III, LP, Meritech Capital Partners, LP, New Enterprise Associates VIII, LP, Polaris Venture Partners III, LP, SKM Equity Fund III, LP, Spectrum Equity Investors III, LP, Summit Accelerator Fund, LP, TA IX, LP, Technology Crossover Ventures IV, LP, Thomas H. Lee Equity Fund V, LP, Thomas Weisel Capital Partners, LP, VantagePoint Venture Partners IV, LP, Vestar Capital Partners IV, LP) (share - .18%)	D	(3)	Trust	III	E, S
Market Street Venture Trust II (MSVTII) - Delaware business trust – investments include: JPMorgan Money Market Sweep Funds, MSTC Fixed Income Fund I (see holdings listed below – share 6.84%), Baker Communications Fund LP and Baker Communications Fund (Cayman), LP (investments in portfolio companies including: Acuent, Advanced Switching, Akamai Technologies, Broadview Networks, Connected Corporation, Curl Corporation, Fort Point Partners, InterXion Holdings, NV, Micromuse, NetScout, QS Communications, AG, S2 Systems, Style365.com), Blue Rock Capital LP (investments in portfolio companies including: ChannelWave, Inc., Edison Schools, Inc., Entigo Corporation, eVulkan, Inc., Fact City, Inc., GAIN Capital, Inc., Grocery Works.com, Inc., Integrated Chipware, Inc., Just Balls, Inc., Lockstar, Inc., MIDAS Vision Systems, Inc., MuseumShop.com, Inc., Nextone Communications, Inc., Nxtwave Communications, Inc., OpenService, Inc., Ranch Networks, Inc., Response Networks, Inc., Tellium, Inc., THINQ					

(3) See explanation at page 5 of 26.

SCHEDULE III – ASSETS AND UNEARNED INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Learning Solutions, Inc.) Oxford Bioscience Partners II LP (investments in portfolio companies including: Admetric BioChem, Inc., Apovia (formerly EVAX), Arevia, ArgoMed, Inc., Astex Technology Ltd., Biocode, Inc., Cardiopulmonary Corp., Cellomics, Inc., Ceres, CombiChem, Inc., CytoLogix Corporation, Entomed, Exelixis (formerly Artemis), ExonHit Therapeutics, SA, *Family* meds, Inc., Gene Logic, Genicon Sciences Corporation, GuideStar Health Systems, Inc., InKine Pharmaceutical Company, Inc., Lexicon (formerly Coelacanth), Memory Pharmaceuticals Corp., Message Pharmaceuticas, MicroMed Technology, Inc., MT Technology, Inc. (formerly Mosaic), NetGenics, Inc., Orchid BioSciences, Inc., Phase-1 Molecular Toxicology, Inc., Physiome Sciences, Inc., SciQuest, Variagenics, Inc.), Baker Communications Fund II (QP), LP, Baker Communications Fund II (Cayman) LP and Baker Communications Fund II, LP (investments in portfolio companies including: Broadview Networks, DemograFX, EM4 Photonics, InterXion Holdings NV, IQ Navigator, Jasmine Networks, JP Mobile, Mobility Technologies, Neocore, Op40 (formerly International Interactive Commerce), QS Communications AG, RiverOne (formerly Need 2 Buy.com), Sockeye Networks, Shelter Venture Fund, LP, Tamir Fishman Ventures, Teem Photonics SA, Totality, Turin Networks, Zucotto Wireless) Paul Associates II, LP (investments in portfolio companies at September 30, 2001 including: New Enterprise Associates 8A, Paul Capital JPMP, LLC, ABN-Amro Capital, Matignon Investments FCPR), Boston Millennia Partners II (investments in porfolio companies incuding: ATHENIX, CIRQIT.com, Dawntreader II, Deltagen, eMed, Entigo, Fast-Talk Communications, FHP Wireless, Galt Associates, Infoimage, Iolon, Knowledge Impact, MedAptus, Neoworld, Netifice Communications, Optical Solutions, OptXCon, PhotonEx,					

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Politzer & Haney, Teraphase Technologies, Inc., Totality, V-SPAN, YankeeTek, Yantra) Intersouth Partners V, LP (investments in portfolio companies including: InfoGlide, Neolinear, Inc., NetOctave, Inc., Trinity Convergence, Inc., Windwire, Inc., Zoom Culture, Inc., Athenix, ChemCodes, Inc., Merix Bioscience, Inc., Norak Biosciences, Inc., Stemco Biomedical, Inc.) (share - .25%)	D	(3)	Trust	IV	E
Market Street Fixed Income Trust I (MSFITI) - Delaware business trust – investments include: securities of Arapahoe County School District, Austin Independent School District Texas, Bishop International Airport, Brownsville Independent School, California Housing Finance Agency, Charleston County South Carolina, Chicago O'Hare International Airport Illinois, Citibank Credit Card Issuance Trust, City and County of Denver Colorado Special Facilities Airport, City of Austin Texas Certificates of Obligation, City of Austin Texas Public Improvement, City of Austin Texas Utility Systems, City of Berwyn Illinois Convention, City of Bridgeport Connecticut General Purpose, City of Chicago Illinois General Purpose, City of Chicago Illinois Wastewater Transmission, City of Dallas Texas Civic Centre, City of Fort Worth Texas Water and Sewer, City of Hampton Virginia, City of Houston Texas Water and Sewage Systems, City of Jackson Mississippi Water and Sewer Systems, City of Jacksonville Florida Sales Tax Revenue River City, City of Kansas City Missouri Water Revenue, City of Miami Florida Parking Facilities, City of Minneapolis Minnesota General Purpose, City of New Orleans Louisiana Tax Exempt, City of Pearland Texas Water and Sewage, City of Philadelphia Pennsylvania Water and Sewer, City of Portland Oregon Improvement, Clark County Nevada General Purpose, Clark County Nevada Transportation					

(3) See explanation at page 5 of 26.

SCHEDULE III – ASSETS AND UNEARNED INCOME

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Improvement, Clark County School District Nevada Building, Clear Creek Independent School District Texas, Colorado Housing, Colorado Water Resources Power Development Authority Clean Water, Commonwealth of Massachusetts, Commonwealth of Pennsylvania General Purpose, Connecticut Health and Educational Facilities, Conroe Industrial Development Corp., Dallas County Flood Control District, District of Columbia, District of Columbia Refinance Howard University, Federal Farm Credit Bank, Federal Home Loan Bank, Fitchburg State College, Florida State Board of Education, Fulton County School District Georgia, Geisinger Health Systems Authority Pennsylvania, Georgia Municipal Electric Power Authority, Grant County Public Utility School District Number 002, Hall County School District Georgia, Hamilton County Ohio Sales Tax, Harris County Texas Combined Tax and Revenue, Harris County Texas Toll Road, Hyland Hills Metropolitan Park and Recreation District Colorado, Illinois Health Facilities, Kane County School District Number 101 Illinois Batavia School Building, King County School District No 414 Washington Lake Washington, La Porte Independent School District Texas School Improvement, Lamar Consolidated Independent School District Texas School House, Lawrence Township Independent Metropolitan School District, Los Angeles County Public Works, Massachusetts Bay Transportation Authority, Massachusetts Municipal Wholesale Electric Co. Power Supply, Massachusetts Water Resources Authority, McKinney Independent School District Texas School Building, Michigan Building Authority, Michigan State Hospital, Michigan State Housing Development, Middletown Township Board of Education New Jersey School, Minnesota Housing Finance Agency, Multnomah County School District,					

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Municipal Assistance Corp. for the City of New York New York, Municipal Electric Authority Georgia, New Hampshire Higher Educational and Health Facilities, New Jersey Health Care Facilities Financing Authority, New Jersey Highway Authority, New Jersey Transportation Trust Fund, New Jersey Turnpike, New York State Dormitory Authority, New York State Medical Care Facilities, Ohio Building Authority State Facilities Adult Correction, Ohio Turnpike Commission Turnpike, Orlando Utilities Commission Florida Water and Electric, Palm Beach County Solid Waste Authority, Piedmont Municipal Power Agency, Regional Transportation Authority Illinois, Rhode Island Housing and Mortgage, Sacramento County California Multifamily Housing, Sacramento Municipal Utility, Salt River Project Agricultural Improvement and Power District Arizona Electric, Shelby County Tennessee Public Improvement and School, Spring Branch Independent School District Texas, State of California General Obligation, State of Connecticut Refinance Unlimited, State of Georgia General Obligation, State of Hawaii School Improvement Unlimited, State of Illinois Refinance Unlimited Tax, State of Maryland Tax Exempt Lease, State of Michigan Trunk Line, State of Mississippi Capital Improvement, State of Nevada Colorado River, State of North Carolina School, State of Ohio Infrastructure Improvement, State of Tennessee General Purpose, State of Wisconsin AMT, State of Wisconsin General Obligation, Tennessee Housing Development Agency, Texas Public Finance Authority, Town of Nantucket Massachusetts Municipal Purpose, Traverse City Area Public Schools Michigan Building and Site, Triborough Bridge and Tunnel Authority, University of Texas, Utah State Building Ownership Authority, Virginia Housing Development, Virginia Public Building, Washington Public Power Supply System Nuclear Project (exchanged and sold in 2001)	A	(3)	Trust	I	E, S

(3) See explanation at page 5 of 26.

SCHEDULE III – ASSETS AND UNEARNED INCOME

Asset and/or Income Source	Valuation of Asset		Income		Transaction
	Category of Value	Alternative Valuation	Type of Income	Category of Income	
Market Street Equity Trust III (MSETIII) - Delaware business trust - investments include: American Home Products Corp., ALLSTATE Corp., Avaya, Inc., American Express Co., Citigroup, Inc., Chubb Corp., Cendant Corp., Comcast Corp., Canadian National Railway Co., E.I. du Pont de Nemours and Co., Devon Energy Corp., Electronic Data Systems Corp., Emerson Electric Co., Exelon Corp., Fleet Boston Financial Corp., Sprint Corp., Freddie Mac, Gannett Co., Inc., International Business Machines Corp., IMS Health, Inc., John Hancock Financial Services, Inc., JP Morgan Chase & Co., Kerr-McGee Corp., Liberty Media Corp., MGIC Investment Corp., Oxford Health Plans, Inc., Pitney-Bowes, Inc., Radioshack Corp., Schering-Plough Corp., Staples, Inc., Safeway, Inc., Textron, Inc., Whirlpool Corp., Tricon Global Restaurants, Inc., Apple Computer, Inc., Andrew Corp., Alltel Corp., Black Box Corp., BankNorth Group, Inc., A.H. Belo Corp., Pacific Century Financial Corp., Bear Stearns Companies, Inc., Computer Associates International, Inc., Commerce Bancshares, Inc., Charter One Financial, Inc., Cognos, Inc., Dundee Bancorp, Datascope Corp., Quantum Corp., Electro Rent Corp., Callaway Golf Co., Forest City Enterprises Co., Fidelity Bankshares, Inc., Fahnestock Viner Holdings, Inc., Golden West Financial Corp., Interstate Bakeries Corp., International Game Technology, John Wiley & Sons, Inc., Knight Ridder, Inc., Lawson Products, Inc., Marcus Corp., Mentor Graphics Corp., Miller Herman, Inc., McClatchy Co., Mercantile Bankshares Corp., NCR Corp., North Fork Bancorp, New York Times Co., Park Place Entertainment Corp., Progressive Software Corp., QualComm, Inc., Raymond James Financial, Inc., Russ Berrie & Co., Inc., Scientific Atlanta, Inc., Stride Rite Corp., Superior Industries, Inc., Stilwell Financial, Inc., Tektronix, Inc., Thomas Industries, Inc., TOPPS, Inc., UCBH Holdings, Inc., Webster Financial Corp., Wendy's International, Inc., Weis					

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Markets, Inc., Washington Post Co., Whitney Holding Corp., Pierpont Money Market Fund and JP Morgan Money Market Sweep Fund (exchanged and sold in 2001)	A	(3)	Trust	I	E, S
Market Street International Equity Trust I (MSIETI) - Delaware business trust – investments include: Hunter Douglas NV, Interbrew, Novartis AG, UBS AG-Registered, Bank Sarasin & CTE-REG B, Prosegur Comp Seguridad-RegD, Altadis SA, Fomento Economico Mexicano SA, Total Fina Elf SA-B, AXA-UAP, BIC SA, Havas Advertising SA, Alcatel Alathom C G E, Aventis SA, Diageo PLC, Man Group PLC, Singer & Freidlander Group PLC, Cobham PLC, HSBC Holdings PLC, SSL International PLC, Waterford Wedgewood-Unit, Alleanza Assicurazioni, Sony Corp, Nikko Securities, Korea Telecom Corp, ABN AMRO Holding NV, CSM NV, IHC Caland NV, Wolters Kluwer, Philips Electronics NV, Den Norske Bank ASA, Orkla ASA, Oversea-Chinese Banking Corp., Shin-Etso Chemical Co LTD, FANUC Co LTD, Canon Inc, Alleanza Assicurazio NI SPA, AHOLD (KON) NV ORDS, Aventia Sponsored ADR, VNU NV EURO.20, AXA GA Eur9.15, Fortis Group, Credit Suisse Group, Swiss RE-REG, Unicredito Italiano, Elan PLC A/D/R, Sanofi-Synthelabo SA, Vivendi Universal SA, Cadbury Schweppes, Vivendi Universal, Glaxosmithkline PLC, Hennes and Mauritz A B Seko, HSBC Holdings PLC USD, Loreal FRF10 ORDS, LVMH Moet Hennesy, Suez Lyonnaise Des EAUX, Rights – VNU NV, AHOLD NV-STK – Rights, Nokia Corp CL-A, News Corp Ltd ADR, Koninklijke Philips Electronic, Pearson PLC, Reckitt Benckiser ORD 10, SAP AG NPV ORDS, Siemens AG NPV, STMICROELECTRONICS NV, Telefonica SA, Telecom Italia Mobile ITL, Vodafone Group PLC, Southcorp Limited, Toll Holdings Limited, Omega Pharma SA, Esprit Holdings LTD, LI &					

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(3) See explanation at page 5 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Fung LTD, Giordano International LTD, Biovail Corp, UBS AG-Registered, Zurich Financial Services AG, Tecan Group AG-REG, Porsche AG, Altana AG, Allianz AG, Vestas Wind Systems A/S, AMDOCS LTD, Banco Santander Central, Grupo Dragados SA, Banco Bilboa Vizcaya SA, Nokia AB-A SHS, AXA-UAP, Publicis Groupe, Societe Generale Paris, BNP Paribas, Altran Technoligies SA, Everest RE Group LTD, AMVESCAP PLC, Standard Chartered PLC, Jardine Lloyd Thompson, Shire Pharmaceuticals Group, China Unicom, Hang Seng Bank, Allied Irish Banks, ANGLO Irish Bank Corp PLC, Mediolanum SPA, Recordati SPA, R A S Spa, Banca Fideuram SPA, AEON Credit Services Co., Ito En LTD, Daiichikosho Co LTD, Belluna Co LTD, Hokuto Corp, Matsumotokiyoshi Co LTD, USS Co LTD, Kookmin Bank ADR, Global Biochem Technology, Xinao Gas Holding LTD, Grupo Financiero BBVA Bancomer, Wal-Mart De Mexico, AEGON NV, ING Groep NV, Koninklijke AHOLD NV, Van Der Moolen, RTS-Nutreco Holdings, Tandberg ASA, Tomra Systems ASA, J.P. Morgan Funds, Doctor Reddy's Lab, ELEKTA AB-B, Swedish Match AB, Modern Times Group-B, DataCraft Asia Limited, Sun Hung Kai Properties, Taro Pharmaceuticals Ind., Teva Pharmaceutical Industries, Telefonos De Mexico, Taiwan Semiconductor Manufacturers, WestJet Airlines (exchanged and sold in 2001)	A	(3)	Trust	I	E, S
Amory Houghton Jr. Trust U/W A.B. Houghton - (interest in income only) **			Trust	I	
Holdings consist of:					
Trusts:					
Market Street Fixed Income Trust I – (see holdings listed above) (sold in 2001)	A	(3)			P, S
Market Street New York Municipal Bond Trust - Delaware business trust - investments include: Municipal Assistance Corp. for the					

** Category of value represents total value of each asset held in the trust.

(3) See explanation at page 5 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
City of New York - New York, New York State Thruway Authority, Metropolitan Transportation Authority - New York, Power Authority of the State of New York, New York City Municipal Water Finance Authority New York State Environmental Facilities Corp., Orange County -New York, New York City Transitional Finance Authority, New York City Public Benefit Corp., New York General Purpose Unlimited, New York State Refinance Unlimited Tax, Federal Home Loan Bank, New York State Dormitory Authority, New York State Mortgage Agency, Puerto Rico Infrastructure Financing and JP Morgan Money Market Sweep Fund (share – 26.85%)	J	(3)			P, S
Market Street Equity Trust I – (see holdings listed above) (share – 1.97%)	H	(3)			P
Market Street Equity Trust II (see holdings listed above) (share – 2.08%)	I	(3)			P
Market Street Equity Trust III (see holdings listed above) (share – 2.34%)	I	(3)			P, S
Market Street Venture Trust I – (see holdings listed above) (share – 2.12%)	G	(3)			S
Market Street Venture Trust II – (see holdings listed above) (share – 1.01%)	F	(3)			S
Market Street International Equity Trust I – (see holdings listed above) (share – 1.87%)	H	(3)			P
Market Street Telecommunications Trust I – (see holdings listed above) (share - .27%)	D	(3)			

(3) See explanation at page 5 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Partnerships:					
Corning Associates VC-III, (Abbingdon Venture Partners LP-III, managed by the Foster Management Co., King of Prussia, PA; organized to invest in companies primarily in the health services industry) (share – 3.55%)	C	(2)			
Osprey Partners, LLC – investment in Lightship Holdings: organized to invest primarily in telephone technology (share – 14.49%)	C	(2)			
Real Estate:					
Residence (occupied by the Congressman), Washington, DC	I				
Other:					
Corning Incorporated – common stock	I				
Corning Incorporated – convertible bonds	E				P
Demand notes receivable from Amory Houghton Jr.	G				
Principal cash - interest bearing (J.P. Morgan Delaware)	G				
Income cash - interest bearing (J.P. Morgan Delaware)	C				
Other cash – interest bearing (J.P. Morgan Delaware)	E				
GMO Emerging Markets Fund III – mutual fund, Boston, MA	A				S
GMO Foreign Fund III – mutual fund, Boston, MA (sold in 2001)	A				S
Harbor International Fund I – mutual fund, Toledo, OH (sold in 2001)	A				S
Morgan Stanley Dean Witter Emerging Markets Fund, mutual fund - Chicago, IL (sold in 2001)	A				S
Vanguard Extended Market Portfolio - mutual fund, Philadelphia, PA	E				P
Vanguard Mid-Cap Index Fund Institutional - mutual fund, Philadelphia, PA (sold in 2001)	A				P, S
Vanguard Institutional Index Fund – mutual fund, Philadelphia, PA	H				P, S
Westport Small Capital Fund – mutual fund, Westport, CT	G				P
Dividend receivable, Vanguard Extended Market Portfolio - mutual fund	B				

(2) See explanation at page 3 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Dividend receivable, Vanguard Institutional Index – mutual fund	C				
Dividend receivable, JPMorgan Federal Money Market Funds	B				
Amory Houghton Jr. Trust 12/10/34 – (Beneficial interest in income of trust changes from year to year at the discretion of the Trustees. Current year beneficial interest in income of trust is 0%. Filer has the right to withdraw each year from the principal of the trust five percent of its then fair market value, the total of such withdrawals being subject to an approximate ten percent overall limitation during the remainder of his life.)**			Trust	I	
Holdings consist of:					
Trusts (see holdings listed above):					
Market Street Fixed Income Trust I (share – 3.10%)	I	(3)			P, S
Market Street New York Municipal Bond Trust (sold in 2001)	A	(3)			P, S
Market Street Equity Trust II (share – 2.05%)	I	(3)			P
Market Street Equity Trust III (share – 2.12%)	I	(3)			P
Market Street Equity Trust I (share – 1.93%)	H	(3)			P
Market Street Venture Trust I (share – 1.75%)	G	(3)			S
Market Street Venture Trust II (share - .83%)	F	(3)			S
Market Street International Equity Trust I (share – 2.14%)	H	(3)			P
Market Street Telecommunications Trust I (share - .88%)	E	(3)			P
Partnerships:					
Corning Associates VC-III (see holdings listed above) (share – 1.58%)	B	(2)			
Market Street Trust Company Investment Partnership I, invested in JPM 1996 Alpha, LLC partnership (share – 5.61%): JPM 1996 Alpha LLC, managed by J.P. Morgan D.E.; organized to diversify in low basis stocks (investments as of September 30, 2000 include: AT&T Corp.,					

** See explanation at page 17 of 26.

(2) See explanation at page 3 of 26.

(3) See explanation at page 5 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
AT&T Wireless Services, Avaya Inc., Campbell Soup Co., Compaq Computer Corp., Corning Inc., E.I. du Pont de Nemours and Company, Eli Lilly & Co., International Flavors and Fragrances, Inc., Lucent Technologies, Inc., Boeing Co., Viasic Foods International, Inc., American International Group. and Midland Preferred Stock)	H	(2)			
Other:					
Corning Incorporated – common stock	I				P
Corning Incorporated – convertible bonds	E				P
Mortgage receivable from Katherine Q. Houghton	F				
Principal cash – interest bearing (J.P. Morgan Delaware)	G				
Income cash – interest bearing (J.P. Morgan Delaware)	B				
Other cash – interest bearing (J.P. Morgan Delaware)	E				
GMO Emerging Markets Fund III - mutual fund, Boston, MA (sold in 2001)	A				S
GMO Foreign Fund III- mutual fund, Boston, MA (sold in 2001)	A				S
Harbor International Fund – mutual fund, Toledo, OH (sold in 2001)	A				S
Morgan Stanley Dean Witter Emerging Markets Fund – mutual fund, Chicago, IL (sold in 2001)	A				S
Vanguard Extended Market Portfolio – mutual fund, Philadelphia, PA	F				P
Vanguard Institutional Index – mutual fund, Philadelphia, PA	H				P, S
Vanguard Mid-Cap Index Fund Institutional – mutual fund, Philadelphia, PA (sold in 2001)	A				P, S
Westport Small Capital Fund I - mutual fund, Westport, CT	G				P
Dividend receivable, Vanguard Extended Market Portolio – mutual fund	C				
Dividend receivable, Vanguard Institutional Index – mutual fund	C				
Dividend receivable – JPMorgan Federal Money Market Fund	B				

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(2) See explanation at page 3 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Elisabeth Houghton Trust 12/10/34 - (interest in 1/15 income only)**			Trust	I	
Holdings consist of:					
Trusts (see holdings listed above):					
Market Street Fixed Income Trust I (share – 8.62%)	J	(3)			S
Market Street Equity Trust I (share – 7.62%)	I	(3)			P
Market Street Equity Trust II (share – 7.51%)	J	(3)			P
Market Street Equity Trust III (share – 7.49%)	J	(3)			P, S
Market Street Venture Trust I (share – 8.78%)	I	(3)			S
Market Street Venture Trust II (share – 5.62%)	H	(3)			
Market Street Telecommunications Trust I (share – 10.68%)	I	(3)			P
Market Street International Equity Trust I (share – 7.86%)	I	(3)			P
Partnerships (see holdings listed above):					
Corning Associates VC-III (share – 7.18%)	C	(2)			
Market Street Trust Company Investment Partnership I (share – 17.00%)	I	(2)			
Other:					
Corning Incorporated - common stock	I				P
Corning Incorporated – convertible bonds	F				P
Principal cash – interest bearing (J.P. Morgan Delaware)	H				
Income cash – interest bearing (J.P. Morgan Delaware)	C				
Other cash – interest bearing (J.P. Morgan Delaware)	F				
Harbor International Fund - equity mutual fund, Toledo, OH (sold in 2001)	A				S
GMO Emerging Markets Fund III-mutual fund, Boston, MA (sold in 2001)	A				S
GMO Foreign Fund III - mutual fund, Boston, MA (sold in 2001)	A				S
Morgan Stanley Dean Witter Emerging Markets Fund - mutual fund, Chicago, IL (sold in 2001)	A				S

** See explanation at page 17 of 26.

(2) See explanation at page 3 of 26.

(3) See explanation at page 5 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Vanguard Extended Market Portfolio - mutual fund, Philadelphia, PA	G				P, S
Vanguard Institutional Index – mutual fund, Philadelphia, PA	I				P, S
Vanguard Mid-Cap Index Fund Institutional – mutual fund, Philadelphia, PA (sold in 2001)	A				P, S
Westport Small Capital Fund I- mutual fund, Westport, CT	I				P
Dividend receivable, Vanguard Extended Market Portfolio – mutual fund	C				
Dividend receivable, Vanguard Institutional Index – mutual fund	C				
Dividend receivable – JPMorgan Federal Money Market Fund	C				
Sidney Cole Trust U/W A.B. Houghton12/10/34 - (interest in limited principal and 1/8 income only)**	A		Trust	I	
All investments were distributed in-kind to the beneficiaries during 2001					
John C. Dewey Jr. Trust - (Priscilla Dewey Houghton - beneficiary, interest in income only)**			Trust	VI	
Holdings consist of:					
Common stock:					
Abbott Labs	F				
Agilent Technologies	C				
American Home Products Corp.	F				
Avaya, Inc. (sold in 2001)	A				S
Automatic Data Processing Co.	C				
Bellsouth Corp.	E				
BP PLC Sponsored ADR	D				
Chevrontexaco Corp. (formerly Chevron Corp.)	E				
Coca Cola Co.	F				
Equity Office Properties Trust Co.	D				
FPL Group Inc.	E				
General Electric Co.	F				
Hewlett Packard Co.	D				
Intel Corp.	D				
Lucent Technologies, Inc. (sold in 2001)	A				S
MBIA Inc.	D				
MBNA Corp.	D				
Minnesota Mining and Manufacturing Co.	E				
Molex Inc. Class A	D				
National City Corp.	E				
Reuters Group plc	D				
Schering Plough Corp.	E				
Sysco Corp.	D				P

** See explanation at page 17 of 26.

	Valuation of Asset		Income		
Asset and/or Income Source	Category of Value	Alternative Valuation	Type of Income	Category of Income	Transaction
Tyco International Limited	D				
Walgreen Co.	D				
Other:					
U.S. Government Obligations Tax Managed Fund, Pittsburgh, PA	D				
Talbot Dewey Trust 11/20/80 - (Priscilla Dewey Houghton – beneficiary, interest in income only)**			Trust	I	
Holdings consist of:					
Common stock:					
American International Group, Inc.	D				
Automatic Data Processing Inc.	C				
Intel Corp.	C				
Interpublic Group Consulting Inc.	C				
Wachovia Corp.	C				
Other:					
U.S. Government Obligations Tax Managed Fund, Pittsburgh, PA	B				

IV – TRANSACTIONS

Attachments

A – Purchase/Sale detail history report for Amory Houghton Jr.'s personal account.

B – Purchase/Sale detail history report for Priscilla Houghton's personal account.

C – Purchase/Sale detail history report for Market Street Equity Trust I.

D – Purchase/Sale detail history report for Market Street Equity Trust II.

E – Purchase/Sale – Detail history report for Market Street Telecommunications Trust I.

F – Purchase/Sale detail history report for Market Street Venture Trust I.

G – Purchase/Sale detail history report for Market Street Venture Trust II.

H – Purchase/Sale detail history report for Market Street Fixed Income Trust I.

I – Purchase/Sale detail history report for Market Street Equity Trust III.

J – Purchase/Sale detail history report for Market Street International Equity Trust I.

K – Purchase/Sale detail history report for Market Street New York Municipal Bond Trust.

** See explanation at page 17 of 26.

UNITED STATES HOUSE OF REPRESENTATIVES

ETHICS IN GOVERNMENT ACT - 2001 FINANCIAL DISCLOSURE STATEMENT

AMORY HOUGHTON JR.

SCHEDULE V - LIABILITIES

Creditor	Type of Liability	Category
Amory Houghton Jr. Trust U/W A.B. Houghton	Notes Payable	F
Chase Manhattan Bank N.A., Corning, NY	Notes Payable on 76-78 East Market Street investment property	F
Chase Manhattan Bank, N.A., Elmira, NY	Notes Payable	D

SCHEDULE VI – GIFTS

Source	Description	Value
Corning, Incorporated	Steuben vase received at Corning, Incorporated's Emeriti Dinner in December 2001	$277

SCHEDULE VII - TRAVEL PAYMENTS AND REIMBURSEMENTS

Source	Dates	Point of Departure Destination Point of Return	Lodging? (Y/N)	Food? (Y/N)	Was family member included? (Y/N)	Any tim not at Sponsor Expens (Y/N
International Management and Development Institute	February 16 – 26, 2001	Washington, DC Dusseldorf, Germany Washington, DC	Y	Y	Y	N
Faith & Politics Institute Civil Rights Pilgrimage	March 2 – 4, 2001	Washington, DC Birmingham, Selma, Montgomery, AL Buffalo, NY	Y	Y	N	N
Republican Main Street Partnership West Coast Meetings	April 16 – 18, 2001	Boston, MA Palo Alto, San Jose, Cupertino, Santa Clara, Menlo Park, San Francisco, CA Boston, MA	Y	Y	N	N
Aspen Institute's Bipartisan Congressional Retreat	March 9 – 11, 2001	Washington, DC White Sulphur Springs, WV Washington, DC	Y	Y	Y	N

UNITED STATES HOUSE OF REPRESENTATIVES

ETHICS IN GOVERNMENT ACT - 2001 FINANCIAL DISCLOSURE STATEMENT

AMORY HOUGHTON JR.

SCHEDULE VIII – POSITIONS

Non-Profit Affiliations:

- The Meadows Charitable Trust - Trustee
- The Houghton Foundation - Trustee
- Corning Chamber of Commerce - Member
- Corning Museum of Glass - Trustee

Director:

- Market Street Trust Company

Congressman Houghton is also a limited partner in each of the partnerships previously listed in Schedule III with the exception of Acorn IV and Corning Associates II where he serves as a general partner.

SCHEDULE IX - AGREEMENTS

Date	Parties to	Terms of Agreement
2/87	Retired employee of Corning Incorporated and beneficiary of certain Company retirement pension and health plans	Benefits received in accordance with normal plan provisions (monthly).
2/87	Corning Incorporated (former employer)	Transportation benefits - any retired employee (or immediate family member) is permitted to travel on the Company plane subject to space availability and without charge. For income tax purposes only, income is imputed to the retiree based upon the prevailing commercial airline value of the trip and reported by the Company on federal Form-1099 MISC if in excess of $600. Congressman Houghton elects to reimburse Corning Incorporated, based on the prevailing commercial airline value of the trip, for use of the Company plane.

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04-22-02                                   Market Street Trust Company                                                                     PAGE 1
FC3.3                                 PURCHASE / SALE DETAIL HISTORY REPORT
                                      BOOK BASIS  -  FROM 01-01-01 TO 01-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV.

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING     REMAINING
TYPE   TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
------ -------- ----------   -------------- ---------- ------------- ------------- --------------- ------------- ----------- ------------- -----------
62000  CAEF       MSTC Equity Trust II (Growth)
IIC    01-19-01  248507*160                                  -75.50                                                                      INCOME
IIN    01-31-01  250560*160                                4,045.99                                                                      EQUITY INCOME
                              --------------            ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                          0.000                3,970.49          0.00            0.00          0.00           0          0.00

62000  CAVC-III   Corning Associates VC-III
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE             COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
       62000  CAVC-III   Corning Associates VC-III          0.000 DLRS      0.000          1,107.26      1.000 12-31-97                        -1,107.26

62000  CITIGROUP  Citigroup, Inc.
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE             COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
       62000  CITIGROUP  Citigroup, Inc.                3,800.000 SHRS      1.522          5,783.12     55.969 01-31-01       279,843.75       274,060.63

62000  GA.000MD   Augusta National Inc. Demand
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE             COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
       62000  GA.000MD   Augusta National Inc. Demand   1,000.000 PAR     100.000          1,000.00    100.000 12-31-97         1,000.00             0.00

62000  GLW        Corning, Inc.
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE             COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
       62000  GLW        Corning, Inc.                 42,973.000 SHRS      8.582        368,787.17     56.719 01-31-01    13,058,301.09    12,689,513.92

62000  GLW/P      Corning, Inc. - Pledged
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE             COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
       62000  GLW/P      Corning, Inc. - Pledged      296,252.000 SHRS      2.972        880,547.12     56.719 01-31-01     6,117,003.75     5,236,456.63

62000  GMSTF      Gemstar-TV Guide Int'l, Inc.
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                                                             Market Street Trust Company
04-22-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                   PAGE 2
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 01-31-01

ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER ..          QUANTITY     PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
----- -------- ----------         ------------ ---------  ----------  ------------- --------------- -------------  ----------- ------------ -----------
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  GMSTF      Gemstar-TV Guide Int'l, Inc.             728,000 SHRS       1.547      1,125.92    51.813 01-31-01      37,719.86       36,593.94

62000  KITTANSETT Kittansett Club Voting Trust
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  KITTANSETT Kittansett Club Voting Trust              90.000 SHRS       9.444        850.00    50.000 01-31-01       4,500.00        3,650.00

62000  MET        MetLife, Inc.
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MET        MetLife, Inc.                             32.000 SHRS      14.250        456.00    32.813 01-31-01       1,050.00          594.00

62000  MOISIE     Moisie Salmon Club
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MOISIE     Moisie Salmon Club                         1.000 SHRS   5,000.000      5,000.00                            5,000.00            0.00

62000  MOISIEB    Moisie Salmon Club Class B
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MOISIEB    Moisie Salmon Club Class B                 1.000 SHRS   5,000.000      5,000.00                            5,000.00            0.00

62000  MSET3      MSTC Equity Trust III (Value)
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MSET3      MSTC Equity Trust III (Value)              0.000 UNTS       0.000      2,197.86     1.000 12-31-96           0.00       -2,197.86

62000  MSIET1     Int'l Equity Tr I (Developed)
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MSIET1     Int'l Equity Tr I (Developed)            - 0.000 UNTS       0.000      1,078.36                                0.00       -1,078.36

62000  MSTC       Market Street Trust Company
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04-22-02                                                        Market Street Trust Company                                                          PAGE 3
FC3.3                                                        PURCHASE / SALE DETAIL HISTORY REPORT
                                                           BOOK BASIS  -  FROM 01-01-01 TO 01-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER  --          QUANTITY       PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST      PRICE    DATE    MARKET VALUE  UNREALIZED G/L
    62000  MSTC       Market Street Trust Company                 1.000 SHRS   5,000.000       5,000.00 12,500.000 01-31-01     12,500.00        7,500.00

62000  MSTCPART   Market Street Partners, LLC
11C   01-22-01   248611*28                                     -71.96                                                                     INCOME
11N   01-31-01   260981*28                                     -10.64                                                                     EQUITY INCOME
                                --------------           ------------ ------------ -------------- ------------ ------------ ------------
    TOTAL -                              0.000                 -82.60         0.00           0.00         0.00            0         0.00

    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST      PRICE    DATE    MARKET VALUE  UNREALIZED G/L
    62000  MSTCPART   Market Street Partners, LLC                 0.000 DLRS       0.000     145,831.32                         146,029.30          197.98

62000  MSTTI      Market Street Telecomm. Tr. I
    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST      PRICE    DATE    MARKET VALUE  UNREALIZED G/L
    62000  MSTTI      Market Street Telecomm. Tr. I               0.000 DLRS       0.000      23,315.24                               0.00      -23,315.24

62000  MSVTI      Market Street Venture Tr I A
    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST      PRICE    DATE    MARKET VALUE  UNREALIZED G/L
    62000  MSVTI      Market Street Venture Tr I A                0.000 DLRS       0.000       2,189.13      1.000 12-31-96           0.00       -2,189.13

62000  MSVTIB     Market Street Venture Tr I B
    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST      PRICE    DATE    MARKET VALUE  UNREALIZED G/L
    62000  MSVTIB     Market Street Venture Tr I B                0.000 DLRS       0.000      19,966.28      1.000 12-31-97           0.00      -19,966.28

62000  MSVTIC     Market Street Venture Tr I C
    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST      PRICE    DATE    MARKET VALUE  UNREALIZED G/L
    62000  MSVTIC     Market Street Venture Tr I C                0.000 DLRS       0.000      20,985.14                               0.00      -20,985.14

62000  MSVTII     Market Street Venture Trust II
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04-22-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV-

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	CAEF	MSTC Equity Trust II (Growth)									
IIC	01-19-01	248507*160			-75.50						INCOME
IIN	01-31-01	250580*160			4,045.99						EQUITY INCOME
IIN	02-28-01	255278*162			812.94						EQUITY INCOME
PUR	03-01-01	256545	0.000	0.000	145,098.23				0	7,683.23	Asset trans fm S. Cole u/w ABH
SAL	03-02-01	256870*1	0.000	0.000		121,000.00	-121,000.00	0.00			3/2 MSET II Capital wthdrwl
IIN	03-31-01	261093*160			-22,164.86						EQUITY INCOME
IIN	04-30-01	264866*159			1,654.13						EQUITY INCOME
IIC	05-16-01	265848*159			-327.22						INCOME
IIN	05-31-01	267954*159			1,895.24						EQUITY INCOME
IIN	06-30-01	271569*163			-73.38						EQUITY INCOME
IIN	07-31-01	274117*164			-41.61						EQUITY INCOME
IIC	08-16-01	274964*164			-97.94						INCOME
IIN	08-31-01	277172*167			293.82						EQUITY INCOME
SAL	09-05-01	278068*1	0.000	0.000		80,000.00	-80,000.00	0.00			9/5 MSET II Capital wthdrwl
IIN	09-30-01	279945*167			-1,090.99						EQUITY INCOME
IIC	10-15-01	280488*167			-22.72						INCOME
IIN	10-31-01	283037*168			-198.70						EQUITY INCOME
IIC	11-15-01	283474*168			-27.93						INCOME
IIN	11-30-01	286011*171			-890.42						EQUITY INCOME
IIN	12-31-01	289536*172			-170.09						EQUITY INCOME
	TOTAL -		0.000		128,618.99	201,000.00	-201,000.00	0.00	0	7,683.23	
62000	CAFIF	MSTC Fixed Income Trust I									
PUR	03-01-01	256832	0.000	0.000	112,469.57				0	0.00	Asset trans fm S. Cole u/w ABH
SAL	03-06-01	256884*2	0.000	0.000		92,000.00	-92,000.00	0.00			3/6 MSFIT I Capital wthdrwl
IIN	03-31-01	261786*114			93.21						EQUITY INCOME
IIC	04-17-01	261956*114			-74.64						INCOME
IIN	04-30-01	265310*109			84.04						EQUITY INCOME
SAL	05-01-01	267744	0.000	0.000		179.69	-179.69	0.00			To close MSFIT I
SAL	05-07-01	266031*1	0.000	0.000		18,500.00	-18,500.00	0.00			5/7 MSFIT I Capital wthdrwl
IIC	05-16-01	265915*109			-98.25						INCOME
SAL	05-18-01	266058*14	0.000	0.000		1,794.24	-1,794.24	0.00			MSFIT I complete withdrawal

Market Street Trust Company
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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		112,473.93	112,473.93	-112,473.93	0.00	0	0.00	
62000	CAVC-I	Corning Associates VC-I									
SAL	07-01-01	275238	0.000	0.000		48,755.73	-48,755.73	0.00			Remove remaining basis VC-I
	TOTAL -		0.000		0.00	48,755.73	-48,755.73	0.00	0	0.00	
62000	CAVC-III	Corning Associates VC-III									
PUR	03-01-01	253213	0.000	0.000	1,132.57				0	1,107.26	Asset trans from SC u/w ABH
ICA	08-31-01	276352*43			-27.29						ADJ BEG BAL-PUR
ICA	08-31-01	276356*43			1.98						ADJ BEG BAL-PUR
	TOTAL -		0.000		1,107.26	0.00	0.00	0.00	0	1,107.26	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000 CAVC-III --Corning Associates VC-III	0.000 DLRS	0.000	1,107.26	1.000	12-31-97	94.63	-1,012.63

62000 CITIGROUP Citigroup, Inc.

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000 CITIGROUP Citigroup, Inc.	3,800.000 SHRS	1.522	5,783.12	50.480	12-31-01	252,400.00	246,616.88

62000 GA.000MD Augusta National Inc. Demand

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000 GA.000MD Augusta National Inc. Demand	1,000.000 PAR	100.000	1,000.00	100.000	12-31-97	1,000.00	0.00

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	GLW	Corning, Inc.									
PUR	03-01-01	253224	51.000	0.069	3.53				0	0.00	Asset trans from SC u/w ABH
SAL	03-15-01	256508	-3,500.000	2.273		7,955.16	-7,955.16	0.00			Move GLW regular to pledged
SAL	04-02-01	261145	-6,500.000	2.273		14,773.87	-14,773.87	0.00			Move GLW regular to pledged
SAL	04-10-01	263078	-2,000.000	2.273		4,545.80	-4,545.80	0.00			Move GLW regular to pledged
SAL	06-14-01	269357	-3,000.000	2.273		6,818.71	-6,818.71	0.00			Transfer regular to pledged
SAL	06-19-01	269388	-7,500.000	2.273		17,046.77	-17,046.77	0.00			Transfer regular to pledged
SAL	06-21-01	269606	-2,400.000	2.273		5,454.96	-5,454.96	0.00			Transfer regular to pledged
SAL	07-18-01	273375	-2,000.000	2.273		4,545.80	-4,545.80	0.00			Reclass regular to pledged

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	09-19-01	278166	-13,500.000	2.273		30,684.18	-30,684.18	0.00			Transfer regular to pledged
SAL	09-28-01	278984	-7,500.000	2.273		17,046.77	-17,046.77	0.00			Transfer regular to pledged
SAL	10-02-01	279219	-2,000.000	2.273		4,545.81	-4,545.81	0.00			Transfer regular to pledged
WD	10-29-01	282323	-3,110.000	8.869		27,583.63	-27,583.63	0.00			Transfer regular to pledged
SAL	10-29-01	282311	-1,647.000	0.058		95.86	-95.86	0.00			Transfer regular to pledged
SAL	10-29-01	282312	-48,948.000	2.435		119,200.01	-119,200.01	0.00			Transfer regular to pledged
SAL	10-29-01	282313	-488.000	2.273		1,109.18	-1,109.18	0.00			Transfer regular to pledged
SAL	10-29-01	282316	-14,500.000	2.273		32,957.08	-32,957.08	0.00			Transfer regular to pledged
SAL	10-29-01	282318	-9,000.000	2.435		21,917.14	-21,917.14	0.00			Transfer regular to pledged
SAL	10-29-01	282319	-1,500.000	2.273		3,409.35	-3,409.35	0.00			Transfer regular to pledged
SAL	10-29-01	282320	-4,000.000	2.273		9,091.61	-9,091.61	0.00			Transfer regular to pledged
SAL	10-29-01	282321	-12,300.000	0.069		831.50	-831.50	0.00			Transfer regular to pledged
SAL	10-29-01	282322	-51.000	0.069		3.53	-3.53	0.00			Transfer regular to pledged
CNVFR	11-01-01	283412	-5,400.000	9.978		53,881.20	-53,881.20	0.00			Transfer regular to pledged
WD	12-06-01	287362	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to CF Houghton
WD	12-06-01	287363	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to AT Houghton
WD	12-06-01	287364	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to SKB Houghton
WD	12-06-01	287365	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to MMB Houghton
WD	12-06-01	287366	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to EKH Bird
WD	12-06-01	287367	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to AAH Bird
WD	12-06-01	287368	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to WP Grayson
WD	12-06-01	287369	-10.000	10.230		88.36	-88.36	0.00			Tfr Corning to PH Grayson
WD	12-12-01	288617	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Jessie Stuart
WD	12-12-01	288618	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Daniel Stuart
WD	12-12-01	288619	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Zachary Stuart
WD	12-12-01	288620	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Jacob Dewey
WD	12-12-01	288621	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Aislinn Dewey
WD	12-12-01	288622	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Alexander Dewey
WD	12-12-01	288623	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Alicia Dewey
WD	12-12-01	288624	-10.000	10.295		88.36	-88.36	0.00			Tfr Corning to Chantalle Dewey
	TOTAL -		-150,653.000		3.53	384,911.68	-384,911.68	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	GLW	Corning, Inc.	42,973.000	SHRS	8.582	368,787.17	8.920	12-31-01	709,817.92	341,030.75

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BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	GLW/P	Corning, Inc. - Pledged									
PUR	03-15-01	256511	3,500.000	2.273	7,955.16				3,500	7,955.16	Move GLW regular to pledged
PUR	04-02-01	261149	6,500.000	2.273	14,773.87				6,500	14,773.87	Move GLW regular to pledged
PUR	04-10-01	263081	2,000.000	2.273	4,545.80				2,000	4,545.80	Move GLW regular to pledged
PUR	06-21-01	269608	12,900.000	2.273	29,320.44				12,900	29,320.44	Transfer regular to pledged
PUR	07-18-01	273376	2,000.000	2.273	4,545.80				2,000	4,545.80	Reclass regular to pledged
PUR	09-19-01	278168	13,500.000	2.273	30,684.18				13,500	30,684.18	Transfer regular to pledged
PUR	09-28-01	278991	7,500.000	2.273	17,046.77				7,500	17,046.77	Transfer regular to pledged
PUR	10-02-01	279221	2,000.000	2.273	4,545.81				2,000	4,545.81	Transfer regular to pledged
PUR	10-29-01	282346	1,647.000	0.058	95.86				1,647	95.86	Transfer regular to pledged
PUR	10-29-01	282347	3,110.000	8.869	27,583.63				3,110	27,583.63	Transfer regular to pledged
PUR	10-29-01	282348	27,677.000	2.435	67,400.08				27,677	67,400.08	Transfer regular to pledged
PUR	10-29-01	282349	28,800.000	2.435	70,134.84				28,800	70,134.84	Transfer regular to pledged
PUR	10-29-01	282350	1,471.000	2.435	3,582.23				1,471	3,582.23	Transfer regular to pledged
PUR	10-29-01	282351	488.000	2.273	1,109.18				488	1,109.18	Transfer regular to pledged
PUR	10-29-01	282352	14,500.000	2.273	32,957.08				14,500	32,957.08	Transfer regular to pledged
PUR	10-29-01	282354	1,500.000	2.273	3,409.35				1,500	3,409.35	Transfer regular to pledged
PUR	10-29-01	282355	12,000.000	0.069	831.50				12,000	831.50	Transfer regular to pledged
PUR	10-29-01	282356	51.000	0.069	3.53				51	3.53	Transfer regular to pledged
PUR	10-29-01	282357	4,000.000	2.273	9,091.61				4,000	9,091.61	Transfer regular to pledged
CNVTO	11-01-01	283412	5,400.000	9.978	53,881.20				5,400	53,881.20	Transfer regular to pledged
	TOTAL -		150,544.000		383,497.92	0.00	0.00	0.00	150,544	383,497.92	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	GLW/P	Corning, Inc. - Pledged	296,252.000	SHRS	2.972	880,547.12	8.920	12-31-01	2,304,836.64	1,424,309.52

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	GMOEMF	GMO Emerging Markets Fund									
PUR	03-01-01	253229	3,082.378	10.197	31,429.70				0	0.00	Asset trans from SC u/w ABH
SAL	03-08-01	255532	-3,082.378	9.093		28,029.54	-31,429.70	-3,400.16			3/8 GMO Emerging redemption
	TOTAL -		0.000		31,429.70	28,029.54	-31,429.70	-3,400.16	0	0.00	
62000	GMOFX	GMO Foreign Fund									
PUR	03-01-01	253242	2,964.245	13.070	38,742.59				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253248	98.938	13.070	1,293.12				0	0.00	Asset trans from SC u/w ABH

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-01-01	253258	259.931	11.160	2,900.83				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253270	12.077	11.160	134.78				0	0.00	Asset trans from SC u/w ABH
SAL	03-08-01	255506	-3,335.191	11.310		37,721.00	-43,071.32	-5,350.32			3/8 GMO Foreign fd redemption
	TOTAL -		0.000		43,071.32	37,721.00	-43,071.32	-5,350.32	0	0.00	

62000 GMSTF Gemstar-TV Guide Int'l, Inc.
CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	GMSTF	Gemstar-TV Guide Int'l, Inc.	728.000	SHRS	1.547	1,125.92	27.700	12-31-01	20,165.60	19,039.68

62000 HAINX Harbor International Fund

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-01-01	253275	629.893	30.663	19,314.38				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253291	70.324	33.660	2,367.11				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253299	0.643	33.655	21.64				0	0.00	Asset trans from SC u/w ABH
SAL	03-08-01	255496	-350.430	34.660		12,145.90	-10,745.22	1,400.68			3/8 Harbor Int'l Fd redemption
SAL	03-09-01	256132	-350.430	34.530		12,100.35	-10,957.91	1,142.44			3/9 Harbor redemption
	TOTAL -		0.000		21,703.13	24,246.25	-21,703.13	2,543.12	0	0.00	

62000 KITTANSETT Kittansett Club Voting Trust
CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	KITTANSETT	Kittansett Club Voting Trust	90.000	SHRS	9.444	850.00	50.000	12-31-01	4,500.00	3,650.00

62000 MET MetLife, Inc.
CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	MET	MetLife, Inc.	32.000	SHRS	14.250	456.00	31.680	12-31-01	1,013.76	557.76

62000 MGEMX Morgan Stanley Emerging Mkts

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-01-01	253308	2,209.659	14.571	32,196.46				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253327	108.320	11.850	1,283.59				0	0.00	Asset trans from SC u/w ABH
SAL	03-08-01	255489	-2,317.979	11.650		27,004.46	-33,480.05	-6,475.59			3/8 MS Emerging mkt redemption
	TOTAL -		0.000		33,480.05	27,004.46	-33,480.05	-6,475.59	0	0.00	

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                                                            Market Street Trust Company
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FC3.3                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                           REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER --      QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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62000  MOISIE     Moisie Salmon Club
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     62000  MOISIE     Moisie Salmon Club                    1.000 SHRS   5,000.000       5,000.00                          5,000.00          0.00

62000  MOISIEB .  Moisie Salmon Club Class B
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     62000  MOISIEB    Moisie Salmon Club Class B            1.000 SHRS   5,000.000       5,000.00                          5,000.00          0.00

62000  MSET1      MSTC Equity Trust I (Sm Cap)
PUR   03-01-01    256544          0.000      0.000    52,728.98                                                        0     14,757.76  Asset trans fm S. Cole L
SAL   03-02-01    256864*1        0.000      0.000                 37,000.00      -37,000.00         0.00                             3/2 MSET I Capital distr
IIN   03-31-01  263996*153                                -60.44                                                                          EQUITY INCOME
IIC   04-12-01  261474*153                                 -3.26                                                                          INCOME
IIN   04-30-01  264654*152                               -199.01                                                                          EQUITY INCOME
IIC   05-16-01  265835*152                                 -1.55                                                                          INCOME
IIN   05-31-01  267835*153                                -81.53                                                                          EQUITY INCOME
IIC   06-14-01  268592*153                                 -1.65                                                                          INCOME
IIN   06-30-01  271401*156                                -18.08                                                                          EQUITY INCOME
IIC   07-16-01  273281*156                                 -0.81                                                                          INCOME
IIC   07-23-01  273294*156                                 -2.46                                                                          INCOME
IIN   07-31-01  274205*157                                -84.00                                                                          EQUITY INCOME
IIC   08-14-01  274961*157                                 -2.93                                                                          INCOME
IIN   08-31-01  276800*160                                 -8.90                                                                          EQUITY INCOME
IIC   09-18-01  277817*160                                 -1.36                                                                          INCOME
IIN   09-30-01  279933*161                                -27.78                                                                          EQUITY INCOME
IIC   10-16-01  280656*161                                 -1.74                                                                          INCOME
IIN   10-31-01  283201*162                                -10.83                                                                          EQUITY INCOME
IIN   11-30-01  285663*164                               -474.15                                                                          EQUITY INCOME
IIC   12-17-01  287019*165                                 -2.04                                                                          INCOME
IIN   12-31-01  289196*165                                 11.30                                                                          EQUITY INCOME
                              ------------             ------------ ------------ --------------- ------------ ----------- ------------
      TOTAL -                        0.000                51,757.76    37,000.00      -37,000.00         0.00            0     14,757.76

62000  MSET3      MSTC Equity Trust III (Value)
PUR   03-01-01    256546          0.000      0.000    74,962.54                                                        0      1,725.04  Asset trans fm S. Cole L
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                                                                              Market Street Trust Company
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FC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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SAL   03-02-01    256874*1            0.000     0.000                  53,000.00      -53,000.00          0.00                        3/2 MSET III Capital wthdrwl
IIN   03-31-01  260965*154                                  232.73                                                                    EQUITY INCOME
IIC   04-17-01  261878*154                                  -35.62                                                                    INCOME
IIN   04-30-01  265121*153                                  199.87                                                                    EQUITY INCOME
PUR   05-01-01      267673            0.000     0.000     1,725.04                                                     0     1,725.04 To close MSET III
SAL   05-01-01    266000*1            0.000     0.000                  20,400.00      -20,400.00          0.00                        5/1 MSET III Capital wthdrwl
IIC   05-16-01  265852*153                                  -54.96                                                                    INCOME
SAL   05-18-01    266047*1            0.000     0.000                   3,629.60       -3,629.60          0.00                        MSET III complete withdrawal
                                 ----------            ----------- ------------- --------------- ------------- ----------  ----------
      TOTAL -                         0.000              77,029.60     77,029.60      -77,029.60          0.00           0     3,450.08

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE         COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      62000  MSET3     MSTC Equity Trust III (Value)      0.000 UNTS       0.000     2,197.86      1.000 12-31-96           0.00       -2,197.86

62000  MSIET1     Int'l Equity Tr I (Developed)
PUR   03-01-01      256547            0.000     0.000    27,686.63                                                     0         0.00 Asset trans fm S. Cole u/w ABH
SAL   03-02-01    256878*1            0.000     0.000                  17,000.00      -17,000.00          0.00                        3/2 MSIET I Capital wthdrwl
IIN   03-31-01  263333*152                                    2.23                                                                    EQUITY INCOME
IIC   04-17-01  263335*152                                   -2.23                                                                    INCOME
IIN   04-30-01  265532*151                                   -0.73                                                                    EQUITY INCOME
SAL   05-01-01      267667            0.000     0.000                   6,412.88       -6,412.88          0.00                        To close MSIET I
SAL   05-01-01    266010*1            0.000     0.000                   3,610.00       -3,610.00          0.00                        5/1 MSIET I Capital wthdrwl
IIC   05-16-01  265860*151                                   -1.68                                                                    INCOME
SAL   05-18-01    266045*1            0.000     0.000                     661.34         -661.34          0.00                        MSIET I complete withdrawal
                                 ----------            ----------- ------------- --------------- ------------- ----------  ----------
      TOTAL -                         0.000              27,684.22     27,684.22      -27,684.22          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE         COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      62000  MSIET1    Int'l Equity Tr I (Developed)      0.000 UNTS       0.000     1,078.36                               0.00       -1,078.36

62000  MSTC       Market Street Trust Company
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE         COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      62000  MSTC      Market Street Trust Company        1.000 SHRS   5,000.000     5,000.00 12,500.000 12-31-01      12,500.00        7,500.00
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	MSTCPART	Market Street Partners, LLC									
IIC	01-22-01	248611*28			-71.96						INCOME
IIN	01-31-01	250981*28			-10.64						EQUITY INCOME
IIN	02-28-01	255576*28			14.86						EQUITY INCOME
IIN	03-31-01	261290*28			-124.50						EQUITY INCOME
IIN	04-30-01	265011*28			11.95						EQUITY INCOME
IIN	05-31-01	267839*28			13.84						EQUITY INCOME
IIN	06-30-01	270951*28			8.06						EQUITY INCOME
IIN	07-31-01	273996*28			5.24						EQUITY INCOME
IIN	08-31-01	276441*28			5.07						EQUITY INCOME
IIN	09-30-01	279199*28			10.27						EQUITY INCOME
IIN	10-31-01	282637*27			-1.12						EQUITY INCOME
IIN	11-30-01	285671*29			0.81						EQUITY INCOME
IIN	12-31-01	289622*29			12.84						EQUITY INCOME
	TOTAL -		0.000		-125.28	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000 MSTCPART Market Street Partners, LLC	0.000	DLRS	0.000	145,831.32			145,986.62	155.30

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	MSTTI	Market Street Telecomm. Tr. I									
PUR	03-01-01	256548	0.000	0.000	30,111.28				0	24,307.82	Asset trans fm S. Cole u/w ABH
IIN	03-31-01	260483*85			-37.26						EQUITY INCOME
IIN	04-30-01	264567*107			-1,089.16						EQUITY INCOME
IIN	05-31-01	267583*123			-918.70						EQUITY INCOME
IIN	06-30-01	271202*127			-8.75						EQUITY INCOME
IIN	07-31-01	274011*128			-64.05						EQUITY INCOME
IIN	08-31-01	276452*129			7.24						EQUITY INCOME
IIN	09-30-01	279225*129			-8.99						EQUITY INCOME
IIN	10-31-01	282643*129			-44.08						EQUITY INCOME
IIN	11-30-01	286018*131			-8.84						EQUITY INCOME
IIN	12-31-01	289261*132			-3,630.87						EQUITY INCOME
	TOTAL -		0.000		24,307.82	0.00	0.00	0.00	0	24,307.82	

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000 MSTTI Market Street Telecomm. Tr. I	0.000 DLRS	0.000	23,315.24			15,782.12	-7,533.12

ENTITY TYPE	INVESTMENT DESCRIPTION TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	MSVTI	Market Street Venture Tr 1 A									
PUR	04-02-01	262563	0.000	0.000	1,913.48				0	2,175.32	Asset trans fm E. Cole u/w ABK
IIN	04-30-01	265328*37			23.98						EQUITY INCOME
IIC	05-16-01	265879*37			-18.35						INCOME
IIC	05-16-01	265918*37			-1.14						INCOME
IIN	05-31-01	268283*37			42.93						EQUITY INCOME
IIC	06-14-01	268604*37			-0.39						INCOME
IIC	06-14-01	268639*37			-0.85						INCOME
IIN	06-30-01	271962*40			1.60						EQUITY INCOME
IIC	07-16-01	272324*40			-0.46						INCOME
IIC	07-16-01	272343*40			-0.98						INCOME
IIN	07-31-01	274526*41			648.25						EQUITY INCOME
IIC	08-14-01	274976*41			-0.54						INCOME
IIC	08-14-01	274995*41			-1.92						INCOME
IIN	08-31-01	277065*42			48.30						EQUITY INCOME
IIC	09-18-01	277856*42			-1.07						INCOME
IIC	09-18-01	277884*42			-1.48						INCOME
IIN	09-30-01	280168*42			2.94						EQUITY INCOME
IIC	10-15-01	280542*42			-1.52						INCOME
IIC	10-19-01	280577*42			-1.10						INCOME
IIN	10-31-01	283357*43			3.36						EQUITY INCOME
IIC	11-15-01	283490*43			-1.64						INCOME
IIC	11-15-01	283523*43			-1.59						INCOME
IIN	11-30-01	286339*45			3.32						EQUITY INCOME
SAL	12-14-01	286885*45	0.000	0.000		493.75	-493.75	0.00			MSVTI-A Principal distribution
IIC	12-14-01	286763*45			-1.45						INCOME
IIC	12-14-01	286782*45			-1.07						INCOME
IIN	12-31-01	289553*46			16.46						EQUITY INCOME
	TOTAL -		0.000		2,669.07	493.75	-493.75	0.00	0	2,175.32	

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	NSVTI	Market Street Venture Tr I A	0.000 DLRS	0.000	2,189.13	1.000	12-31-96	1,802.38	-386.75

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000	NSVTIB	Market Street Venture Tr I B									
PUR	04-02-01	262564	0.000	0.000	22,683.85				0	20,011.64	Asset trans fm S. Cole u/w ABH
SAL	04-02-01	265113*100	0.000	0.000		1,013.06	-1,013.06	0.00			4/2 NSVTI-B Cap wthdrwl-taxes
IIN	04-30-01	265351*100			39.18						EQUITY INCOME
IIC	05-16-01	265884*100			-17.14						INCOME
IIC	05-16-01	265921*100			-25.76						INCOME
IIN	05-31-01	268296*100			164.13						EQUITY INCOME
IIC	06-14-01	268608*100			-6.58						INCOME
IIC	06-14-01	268646*100			-19.17						INCOME
IIN	06-30-01	271973*103			36.52						EQUITY INCOME
IIC	07-16-01	272327*103			-4.84						INCOME
IIC	07-16-01	272346*103			-22.12						INCOME
IIN	07-31-01	274536*104			-38.14						EQUITY INCOME
IIC	08-14-01	274979*104			-4.98						INCOME
IIC	08-14-01	274998*104			-30.71						INCOME
IIN	08-31-01	277096*105			94.79						EQUITY INCOME
IIC	09-18-01	277864*105			-5.38						INCOME
IIC	09-18-01	277887*105			-23.60						INCOME
IIN	09-30-01	280173*105			29.11						EQUITY INCOME
IIC	10-15-01	280557*105			-6.43						INCOME
IIC	10-15-01	280580*105			-17.53						INCOME
IIN	10-31-01	283362*106			38.46						EQUITY INCOME
IIC	11-15-01	283493*106			-5.68						INCOME
IIC	11-15-01	283526*106			-25.29						INCOME
IIN	11-30-01	286405*108			33.95						EQUITY INCOME
SAL	12-14-01	286887*108	0.000	0.000		1,857.30	-1,857.30	0.00			NSVTI-B Principal distribution
IIC	12-14-01	286766*108			-4.09						INCOME
IIC	12-14-01	286785*108			-17.01						INCOME
IIN	12-31-01	289558*109			36.46						EQUITY INCOME
	TOTAL -		0.000		22,882.00	2,870.36	-2,870.36	0.00	0	20,011.64	

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	62000 MSVTIB	Market Street Venture Tr I B			0.000 DLRS	0.000	19,966.28	1.000	12-31-97	19,179.34	-786.94
62000	MSVTIC	Market Street Venture Tr I C									
PUR	04-02-01	262565	0.000	0.000	21,435.65				0	21,035.47	Asset trans fm S. Cole u/w ADH
IIN	04-30-01	265368*88			54.69						EQUITY INCOME
IIC	05-16-01	265895*88			-8.13						INCOME
IIC	05-16-01	265927*88			-54.86						INCOME
IIN	05-31-01	268300*88			61.04						EQUITY INCOME
IIC	06-14-01	268613*88			-5.81						INCOME
IIC	06-14-01	268653*88			-40.81						INCOME
IIN	06-30-01	271988*91			59.98						EQUITY INCOME
IIC	07-16-01	272330*91			-5.32						INCOME
IIC	07-16-01	272349*91			-47.09						INCOME
IIN	07-31-01	274554*92			-32.69						EQUITY INCOME
IIC	08-14-01	274982*92			-3.70						INCOME
IIC	08-14-01	275001*92			-64.17						INCOME
IIN	08-31-01	277110*93			56.28						EQUITY INCOME
IIC	09-18-01	277868*93			-2.65						INCOME
IIC	09-18-01	277890*93			-49.31						INCOME
IIN	09-30-01	280176*93			50.32						EQUITY INCOME
IIC	10-15-01	280561*93			-2.96						INCOME
IIC	10-15-01	280583*93			-36.63						INCOME
IIN	10-31-01	283365*94			70.88						EQUITY INCOME
IIC	11-15-01	283498*94			-2.74						INCOME
IIC	11-15-01	283538*94			-52.85						INCOME
IIN	11-30-01	286412*96			64.60						EQUITY INCOME
SAL	12-14-01	286890*96	0.000	0.000		424.50	-424.50	0.00			MSVTI-C Principal distribution
IIC	12-14-01	286769*96			-2.22						INCOME
IIC	12-14-01	286788*96			-35.54						INCOME
IIN	12-31-01	289564*97			54.01						EQUITY INCOME
	TOTAL -		0.000		21,459.97	424.50	-424.50	0.00	0	21,035.47	

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                                                                   Market Street Trust Company
04-22-02                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 12
FC3.3                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS  DESCRIPTION

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE    MARKET VALUE  UNREALIZED G/L
      62000  MSVTIC    Market Street Venture Tr I C        0.000 DLRS       0,000     20,985.14                     19,887.82       -1,097.32

62000  MSVTII     Market Street Venture Trust II
PUR   04-02-01    262566           0.000       0.000     3,107.31                                                   0      3,132.27  Asset trans fm S. Cole u/w ABH
IIN   04-30-01  265394*95                                   18.14                                                                    EQUITY INCOME
IIC   05-16-01  265900*95                                   -2.16                                                                    INCOME
IIC   05-16-01  265930*95                                   -0.58                                                                    INCOME
IIN   05-31-01  268315*95                                   73.97                                                                    EQUITY INCOME
IIC   06-14-01  268617*95                                   -0.27                                                                    INCOME
IIC   06-14-01  268656*95                                   -0.44                                                                    INCOME
IIN   06-30-01  271996*98                                  -83.36                                                                    EQUITY INCOME
IIC   07-16-01  272334*98                                   -0.84                                                                    INCOME
IIC   07-16-01  272352*98                                   -0.51                                                                    INCOME
IIN   07-31-01  274557*99                                   80.72                                                                    EQUITY INCOME
IIC   08-14-01  274985*99                                   -0.78                                                                    INCOME
IIC   08-14-01  275006*99                                   -1.34                                                                    INCOME
IIN   08-31-01 277139*101                                   27.91                                                                    EQUITY INCOME
IIC   09-18-01 277873*101                                   -0.81                                                                    INCOME
IIC   09-18-01 277893*101                                   -1.08                                                                    INCOME
IIN   09-30-01 280179*101                                  -12.69                                                                    EQUITY INCOME
IIC   10-15-01 280567*101                                   -0.46                                                                    INCOME
IIC   10-15-01 280588*101                                   -0.80                                                                    INCOME
IIN   10-31-01 283368*102                                    1.09                                                                    EQUITY INCOME
IIC   11-15-01 283502*102                                   -0.30                                                                    INCOME
IIC   11-15-01 283543*102                                   -1.16                                                                    INCOME
IIN   11-30-01 286418*104                                    1.60                                                                    EQUITY INCOME
SAL   12-14-01 286893*104          0.000       0.000                      71.13          -71.13          0.00                        MSVT II Principal distribution
IIC   12-14-01 286772*104                                   -0.24                                                                    INCOME
IIC   12-14-01 286791*104                                   -0.78                                                                    INCOME
IIN   12-31-01 289577*105                                    1.26                                                                    EQUITY INCOME
                               ____________          ____________ ____________ _______________ _____________ __________ ____________
      TOTAL -                      0.000                 3,203.40        71.13          -71.13          0.00           0      3,132.27
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                                                                                   Market Street Trust Company
04-22-02                                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 13
FC3.3                                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MSVTII     Market Street Venture Trust II         0.000 DLRS        0.000      3,115.79       1.000  12-31-96       3,714.62           598.83

62000  MSVTIIB   Market Street Venture Tr II B
PUR   04-02-01    262567              0.000       0.000     40,639.17                                                     0    39,362.91  Asset trans fm S. Cole u/w ABH
IIN   04-30-01  265427*83                                      135.88                                                                    EQUITY INCOME
IIC   05-16-01  265912*83                                       -8.19                                                                    INCOME
IIC   05-16-01  265938*83                                     -152.67                                                                    INCOME
IIN   05-31-01  268324*83                                      160.02                                                                    EQUITY INCOME
IIC   06-14-01  268622*83                                       -6.31                                                                    INCOME
IIC   06-14-01  268659*83                                     -113.58                                                                    INCOME
IIN   06-30-01  271999*86                                      155.67                                                                    EQUITY INCOME
IIC   07-16-01  272337*86                                       -3.53                                                                    INCOME
IIC   07-16-01  272355*86                                     -131.05                                                                    INCOME
IIN   07-31-01  274565*87                                     -367.70                                                                    EQUITY INCOME
IIC   08-14-01  274988*87                                       -3.04                                                                    INCOME
IIC   08-14-01  275009*87                                     -171.86                                                                    INCOME
IIN   08-31-01  277147*88                                     -798.37                                                                    EQUITY INCOME
IIC   09-18-01  277878*88                                       -2.63                                                                    INCOME
IIC   09-18-01  277897*88                                     -126.13                                                                    INCOME
IIN   09-30-01  280189*88                                      127.98                                                                    EQUITY INCOME
IIC   10-15-01  280571*88                                       -6.82                                                                    INCOME
IIC   10-15-01  280593*88                                      -93.69                                                                    INCOME
IIN   10-31-01  283372*88                                      178.67                                                                    EQUITY INCOME
IIC   11-15-01  283505*88                                       -6.44                                                                    INCOME
IIC   11-15-01  283547*88                                     -135.18                                                                    INCOME
IIN   11-30-01  286435*90                                      164.16                                                                    EQUITY INCOME
IIC   12-14-01  286775*90                                       -4.59                                                                    INCOME
IIC   12-14-01  286798*90                                      -90.90                                                                    INCOME
IIN   12-31-01  289581*91                                       24.04                                                                    EQUITY INCOME
                               ------------              ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                         0.000                 39,362.91           0.00            0.00          0.00          0    39,362.91

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      62000  MSVTIIB    Market Street Venture Tr II B          0.000 DLRS        0.000     39,160.11                             38,261.57          -898.54
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04-22-02                                                          Market Street Trust Company                                        PAGE 14
FC3.3                                                        PURCHASE / SALE DETAIL HISTORY REPORT
                                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                      REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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62000 PG        Procter & Gamble
SAL   06-08-01    268872          -744.000    64.008                   47,621.85    -4,125.95    43,495.90                            6/8 Procter & Gamble sale
                               -----------            ------------  ------------ ------------ ------------   ----------  ------------
      TOTAL -                     -744.000                    0.00     47,621.85    -4,125.95    43,495.90            0          0.00

62000 SB.62000   U.S. Savings Bonds E & EE
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE          COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      62000  SB.62000  U.S. Savings Bonds E & EE         5,300.000 PAR        59.434       3,150.00      2.571  12-31-01       13,626.70       10,476.70

62000  SDFIX      Standish Fixed Income Fund
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE          COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      62000  SDFIX      Standish Fixed Income Fund       4,222.067 UNITS      19.347      81,685.27     18.930  12-31-01            0.00      -81,685.27

62000  SUNW       Sun Microsystems
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE          COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      62000  SUNW       Sun Microsystems                11,984.000 SHRS        1.104      13,224.53     12.300  12-31-01      147,403.20      134,178.67

62000  US.12F1110 U.S.T.N.  12.750% Due 11/15/10
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE          COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      62000  US.12F1110 U.S.T.N.  12.750% Due 11/15/10  20,000.000 PAR        96.000      19,200.00    129.984  12-31-01            0.00      -19,200.00

62000  VEXMX      Vanguard Extended Mk Portfolio
PUR   03-01-01    253334            52.613    24.910      1,310.39                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253350            59.103    25.440      1,503.58                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253365             5.339    24.990        133.42                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253376             0.552    24.982         13.79                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253394             8.919    27.890        248.75                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253404            22.361    25.910        579.37                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253416             3.299    25.911         85.48                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253429             6.327    25.710        162.67                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253436             0.876    25.708         22.52                                                             0          0.00  Asset trans from SC u/w ABH
PUR   03-01-01    253443            40.408    24.870      1,004.95                                                             0          0.00  Asset trans from SC u/w ABH
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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-01-01	253446	40.541	25.770	1,044.74				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253450	190.587	31.520	6,007.30				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253451	25.919	29.670	769.02				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253452	8.488	29.670	251.84				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253453	5.921	30.269	179.22				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253454	1.091	33.804	36.88				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253455	0.727	33.796	24.57				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253456	6.668	33.800	225.38				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253457	48.313	28.620	1,382.72				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253458	4.340	28.620	124.21				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253459	41.483	28.480	1,181.43				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253460	5.782	28.480	164.67				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253461	28.558	36.130	1,031.80				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253462	3.610	36.130	130.43				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253463	13.738	42.310	581.25				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253464	2.314	42.308	97.90				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253465	263.709	35.219	9,287.51				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253466	126.455	36.080	4,562.50				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253467	106.089	24.470	2,596.00				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253468	32.035	24.470	783.90				0	0.00	Asset trans from SC u/w ABH
PUR	03-23-01	258801	39.130	21.570	844.03				0	0.00	Reinvest Vang'd Ext Mkt l/t gn
PUR	03-23-01	258982	4.288	21.570	92.50				0	0.00	Reinvest Vang'd Ext Mkt s/t gn
SAL	05-01-01	264240	-627.877	24.240		15,219.74	-18,298.48	-3,078.74			5/1 Vang'd Ext Mkt fd redempt
SAL	05-01-01	264240	-571.706	24.240		13,858.15	-18,166.44	-4,308.29			5/1 Vang'd Ext Mkt Fd redempt
	TOTAL -		0.000		36,464.92	29,077.89	-36,464.92	-7,387.03	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	VEXMX	Vanguard Extended Mk Portfolio	21.041 UNTS	26.368	554.81	23.090	12-31-01	0.00	-554.81

62000 VIHIX	Vanguard Institutional Index									
PUR	03-01-01	253469	139.474	120.990	16,874.95				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253470	0.507	130.710	66.27				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253471	0.069	130.725	9.02				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253472	116.459	133.417	15,537.65				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253473	34.621	132.140	4,574.82				0	0.00	Asset trans from SC u/w ABH

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ENTITY TYPE	INVESTMENT TXN.DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-01-01	253474	462.558	139.280	64,425.07				0	0.00	Asset trans from SC u/w ABH
SAL	05-01-01	264242	-140.050	115.860		16,226.19	-16,950.24	-724.05			5/1 Vang'd Inst'l Index redemp
SAL	05-01-01	264242	-613.638	115.860		71,096.10	-84,537.54	-13,441.44			5/1 Vang'd Inst'l Index redemp
	TOTAL -		0.000		101,487.78	87,322.29	-101,487.78	-14,165.49	0	0.00	
62000	VMCIX	Vanguard Mid-Cap Index Fd Inst									
PUR	03-01-01	253480	1,212.943	10.440	12,663.13				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253481	14.193	11.110	157.68				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253482	32.207	11.110	357.82				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253483	6.006	12.581	75.56				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253484	9.010	12.580	113.35				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253485	29.754	11.350	337.71				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253486	63.437	11.350	720.01				0	0.00	Asset trans from SC u/w ABH
SAL	03-08-01	255483	-1,259.343	12.010		15,124.70	-13,178.63	1,946.07			3/8 Redemption Vang'd Mid-Cap.
SAL	03-08-01	255483	-108.207	12.010		1,299.57	-1,246.63	52.94			3/8 Redemption Vang'd Mid-Cap.
	TOTAL -		0.000		14,425.26	16,424.27	-14,425.26	1,999.01	0	0.00	
62000	WPSCX	Westport Small Capital Fund									
PUR	03-01-01	253487	941.100	12.957	12,194.15				0	0.00	Asset trans from SC u/w ABH
PUR	03-01-01	253488	8.500	18.480	157.08				0	0.00	Asset trans from SC u/w ABH
SAL	05-01-01	265302	-949.600	18.790		17,842.98	-12,351.23	5,491.75			Westport Small-Cap Fd redempt
	TOTAL -		0.000		12,351.23	17,842.98	-12,351.23	5,491.75	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000	WPSCX	Westport Small Capital Fund	126.817	UNTS	14.162	1,795.96	19.530	12-31-01	0.00	-1,795.96

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	1,190,346.49	1,208,005.43	-1,191,254.24	16,751.19	150,344	520,521.68

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ENTITY INVESTMENT DESCRIPTION									REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
62000B CAEF		MSTC Equity Trust II (Growth)									
IIC	01-19-01	248507*161			-22.72						INCOME
IIN	01-31-01	250580*161			1,217.41						EQUITY INCOME
IIN	02-28-01	255278*163			244.61						EQUITY INCOME
IIN	03-31-01	261093*161			-4,879.46						EQUITY INCOME
IIN	04-30-01	264866*160			364.14						EQUITY INCOME
IIC	05-16-01	265848*160			-56.69						INCOME
IIN	05-31-01	267954*160			417.44						EQUITY INCOME
IIN	06-30-01	271569*164			-16.16						EQUITY INCOME
IIN	07-31-01	274117*165			-9.16						EQUITY INCOME
IIC	08-14-01	274964*165			-21.57						INCOME
IIN	08-31-01	277172*168			64.72						EQUITY INCOME
IIN	09-30-01	278945*168			-787.85						EQUITY INCOME
IIC	10-15-01	280488*168			-16.44						INCOME
IIN	10-31-01	283037*169			-143.49						EQUITY INCOME
IIC	11-15-01	283474*169			-20.17						INCOME
IIN	11-30-01	286011*172			-643.01						EQUITY INCOME
IIN	12-31-01	289536*173			-122.83						EQUITY INCOME
	TOTAL -		0.000		-4,431.23	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000B CAEF	MSTC Equity Trust II (Growth)	0.000	DLRS	0.000	18,916.83	1.000	12-31-96	26,233.15	7,316.32

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000B HAINX		Harbor International Fund									
PUR	12-27-01	289354	5.062	29.330	148.47				5	148.47	Harbor Int'l reinv l/t cap gn
	TOTAL -		5.062		148.47	0.00	0.00	0.00	5	148.47	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000B HAINX	Harbor International Fund	173.553	UNTS	27.609	4,791.54	29.630	12-31-01	5,142.38	350.84

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000B LLPFX	Longleaf Partners Fund										
PUR	11-14-01	285133	12.029	22.860	275.00				12	275.00	Reinvest Longleaf l/t cap gain
PUR	11-14-01	285136	3.431	22.860	78.41				3	78.41	Reinvest Longleaf s/t cap gain
TOTAL -			15.460		353.41	0.00	0.00	0.00	15	353.41	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000B LLPFX	Longleaf Partners Fund	1,089.769	UNTS	24.165	26,334.19	24.510	12-31-01	26,710.24	376.05

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
62000B VEXMX	Vanguard Extended Mk Portfolio										
PUR	03-23-01	258802	4.170	21.570	89.95				4	89.95	Reinvest Vang'd Ext Mkt l/t gn
PUR	03-23-01	258803	0.457	21.570	9.86				0	9.86	Reinvest Vang'd Ext Mkt s/t gn
TOTAL -			4.627		99.81	0.00	0.00	0.00	5	99.81	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
62000B VEXMX	Vanguard Extended Mk Portfolio	127.842	UNTS	26.480	3,385.29	23.090	12-31-01	2,951.87	-433.42

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	-3,829.64				25	601.69

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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
AMER1	AKAM	Akamai Technologies Inc									
PUR	03-15-01	257209	35,000.000	10.076	354,403.00				0	0.00	AKAMAI TECHNOLOGIES INC @ 10.0758 352 653.00 BROKERAGE 1 750.00 INSTINET TRADE I
PUR	03-19-01	257210	500.000	7.844	3,946.90				0	0.00	AKAMAI TECHNOLOGIES INC @ 7.8438 3 921.90 BROKERAGE 25.00 INSTINET TRADE DATE 0
PUR	03-19-01	257211	3,400.000	7.625	25,925.00				0	0.00	AKAMAI TECHNOLOGIES INC @ 7.625 LEHMAN BROTHERS INC TRADE DATE 03/19/01
PUR	03-19-01	257212	11,100.000	8.488	94,214.5[illegible]				0	0.00	AKAMAI TECHNOLOGIES INC @ 8.4878 MORGAN STANLEY & CO TRADE DATE 03/19/01
PUR	03-20-01	259151	500.000	9.438	4,718.75				0	0.00	Akamai Technologies @9.4376
PUR	03-20-01	259152	8,700.000	9.579	83,338.17				0	0.00	Akamai Technologies @9.5791
PUR	03-20-01	259156	800.000	9.476	7,580.56				0	0.00	Akamai Technologies @9.4757
SAL	11-15-01	284677	-30,000.000	5.805		172,344.19	-287,063.48	-114,719.29			AKAMAI TECHNOLOGIES INC @ 5.805 174 150.00 BROKERAGE 1 600.00 TAX &/OR SEC 6.81
SAL	11-19-01	284695	-30,000.000	5.620		166,794.38	-287,063.48	-120,269.10			AKAMAI TECHNOLOGIES INC @ 5.62 168 600.00 BROKERAGE 1 800.00 TAX &/OR SEC 5.62
	TOTAL -		0.000		574,126.96	339,138.57	-574,126.96	-234,988.39	0	0.00	
AMER1	AMZN	Amazon .COM Inc									
PUR	01-04-01	248829	5,000.000	15.679	78,645.00				0	0.00	AMAZON COM INC @ 15.679 78 395.00 BROKERAGE 250.00 INSTINET TRADE DATE 01/04/01
SAL	11-15-01	284678	-10,000.000	8.910		88,497.03	-484,524.93	-396,027.90			AMAZON COM INC @ 8.91 89 100.00 BROKERAGE 600.00 TAX &/OR SEC 2.97 J P MORGAN SE
SAL	11-19-01	284696	-5,000.000	9.370		46,548.44	-242,262.47	-195,714.03			AMAZON COM INC @ 9.37 93 700.00 BROKERAGE 600.00 TAX &/OR SEC 3.13 J P MORGAN SE
SAL	11-19-01	284696	-5,000.000	9.370		46,548.43	-242,262.47	-195,714.04			AMAZON COM INC @ 9.37 93 700.00 BROKERAGE 600.00 TAX &/OR SEC 3.13 J P MORGAN SE
	TOTAL -		-15,000.000		78,645.00	181,593.90	-969,049.87	-787,455.97	0	0.00	
AMER1	ARBA	Ariba Inc									
SAL	04-06-01	262733	-7,500.000	4.688		35,155.07	-161,707.19	-126,552.12			ARIBA INC @ 4.6875 35 156.25 TAX &/OR SEC 1.18 HERZOG HEINE GEDULD INC TRADE DAT
SAL	05-01-01	266088	-12,500.000	8.571		107,138.92	-269,511.98	-162,373.06			ARIBA INC @ 8.5714 107 142.5[illegible] TAX &/OR SEC 3.58 HERZOG HEINE GEDULD INC TRADE DA
SAL	07-31-01	274191	-10,000.000	3.950		39,498.68	-215,609.58	-176,110.90			Ariba Inc @3.95
SAL	11-15-01	284679	-15,000.000	4.940		73,197.53	-323,414.38	-250,216.85			ARIBA INC @ 4.94 74 100.00 BROKERAGE 900.00 TAX &/OR SEC 2.47 J P MORGAN SECURIT
SAL	11-19-01	284697	-15,000.000	5.230		77,547.1[illegible]	-323,414.37	-245,866.99			ARIBA INC @ 5.23 78 450.00 BROKERAGE 900.00 TAX &/OR SEC 2.62 J P MORGAN SECURIT
	TOTAL -		-60,000.000		0.00	332,537.58	-1,293,657.50	-961,119.92	0	0.00	
AMER1	BRCD	Brocade Communications Systems									
PUR	06-21-01	270513	20,000.000	39.873	797,468.00				0	0.00	Brocade Communications Systems
SAL	07-19-01	273410	-7,500.000	33.017		247,622.24	-299,050.50	-51,428.26			Brocade Communications Systems
PUR	07-26-01	273680	7,500.000	31.927	239,454.00				0	0.00	Brocade Communications Systems

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ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
SAL	07-31-01	274192	-2,500.000	32.526		81,313.78	-92,233.94	-10,920.16			Brocade Communications Systems
SAL	08-01-01	274589	-5,000.000	35.470		177,344.08	-184,467.87	-7,123.79			Brocade Communications Systems
SAL	11-15-01	284680	-6,250.000	29.880		186,360.77	-230,584.85	-44,216.08			BROCADE COMMUNICATIONS SYSTEMS INC @ 29.88 186 750.00 BROKERAGE 375.00 TAX &/OR
SAL	11-19-01	284690	-6,250.000	29.850		186,181.28	-230,584.84	-44,403.56			BROCADE COMMUNICATIONS SYSTEMS INC @ 29.85 186 562.50 BROKERAGR 375.00 TAX &/OR
TOTAL -			0.000		1,036,922.00	878,830.15	-1,036,922.00	-158,091.85	0	0.00	
AMER1	EBAY	Ebay Inc									
SAL	11-15-01	284681	-17,500.000	60.000		1,048,915.00	-660,294.38	388,620.62			EBAY INC @ 60.00 1 050 000.00 BROKERAGE 1 050.00 TAX &/OR SEC 35.00 J P MORGAN S
SAL	11-19-01	284699	-17,500.000	60.751		1,062,055.31	-660,294.37	401,760.94			EBAY INC @ 60.7509 1 063 140.75 BROKERAGE 1 050.00 TAX &/OR SEC 35.44 J P MORGAN
TOTAL -			-35,000.000		0.00	2,110,970.31	-1,320,588.75	790,381.56	0	0.00	
AMER1	EMIS	Emisphere Technologies Inc									
SAL	04-10-01	262734	-17,500.000	14.313		250,463.90	-734,055.22	-483,591.32			EMISPHERE TECHNOLOGIES INC @ 14.3127 250 472.25 TAX &/OR SEC 8.35 JEFFERIES & C
TOTAL -			-17,500.000		0.00	250,463.90	-734,055.22	-483,591.32	0	0.00	
AMER1	FMKT	Freemarkets Inc									
PUR	07-19-01	273408	30,000.000	17.750	532,500.00				0	0.00	Freemarkets Inc @17.75
SAL	11-15-01	284682	-15,000.000	14.280		213,292.86	-266,250.00	-52,957.14			FREEMARKETS INC @ 14.28 214 200.00 BROKERAGE 900.00 TAX &/OR SEC 7.14 J P MORGAN
SAL	11-19-01	284700	-15,000.000	14.990		223,942.50	-266,250.00	-42,307.50			FREEMARKETS INC @ 14.99 224 850.00 BROKERAGE 900.00 TAX &/OR SEC 7.50 J P MORGAN
TOTAL -			0.000		532,500.00	437,235.36	-532,500.00	-95,264.64	0	0.00	
AMER1	GETY	Getty Images Inc									
SAL	03-22-01	259163	-5,000.000	15.313		76,559.95	-189,403.19	-112,843.24			Getty Images Inc @15.3125
SAL	03-22-01	259163	-2,500.000	15.313		38,279.97	-94,701.59	-56,421.62			Getty Images Inc @15.3125
TOTAL -			-7,500.000		0.00	114,839.92	-284,104.78	-169,264.86	0	0.00	
AMER1	GZTC	Genzyme Transgenics Corp									
PUR	06-27-01	271209	20,000.000	9.100	182,000.00				0	0.00	Genzyme Transgenics Corp
PUR	06-27-01	271210	15,000.000	9.050	135,750.00				0	0.00	Genzyme Transgenics Corp
PUR	07-12-01	272963	21,000.000	8.021	168,449.40				0	0.00	Genzyme Transgenics Corp
SAL	11-15-01	284683	-28,000.000	3.570		98,276.66	-243,099.70	-144,823.04			GENZYME TRANSGENICS CORP @ 3.57 99 960.00 BROKERAGE 1 680.00 TAX &/OR SEC 3.34
SAL	11-19-01	284701	-28,000.000	3.845		105,965.21	-243,099.70	-137,134.49			GENZYME TRANSGENICS CORP @ 3.8446 107 648.80 BROKERAGE 1 680.00 TAX &/OR SEC 3.

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
TOTAL -			0.000		486,199.40	204,241.87	-486,199.40	-281,997.53	0	0.00	
AMER1	HOMS	Homestore.Com Inc									
SAL	11-15-01	284684	-35,000.000	3.116		106,945.86	-792,756.39	-685,810.53			HOMESTORE.COM INC @ 3.1157 109 049.50 BROKERAGE 2 100.00 TAX &/OR SEC 3.64 J P M
SAL	11-19-01	284702	-35,000.000	3.117		106,994.86	-792,756.40	-685,761.54			HOMESTORE.COM INC @ 3.1171 109 098.50 BROKERAGE 2 100.00 TAX &/OR SEC 3.64 J P P
PUR	11-30-01	285649	0.000	0.000	0.01				0	0.01	Correct Homestore.Com's basis
TOTAL -			-70,000.000		0.01	213,940.72	-1,585,512.79	-1,371,572.07	0	0.01	
AMER1	ICGE	Internet Capital Group Inc									
SAL	11-15-01	284685	-12,500.000	1.270		15,124.47	-735,600.21	-720,475.74			INTERNET CAPITAL GROUP INC @ 1.27 15 875.00 BROKERAGE 750.00 TAX &/OR SEC .53 J
SAL	11-19-01	284703	-12,500.000	1.300		15,499.45	-735,600.24	-720,100.79			INTERNET CAPITAL GROUP INC @ 1.30 16 250.00 BROKERAGE 750.00 TAX &/OR SEC .56 J
TOTAL -			-25,000.000		0.00	30,623.92	-1,471,200.45	-1,440,576.53	0	0.00	
AMER1	IDPH	IDEC Pharmaceuticals Corp									
PUR	07-12-01	272964	10,000.000	50.745	507,445.00				0	0.00	IDEC Pharmaceuticals
SAL	11-15-01	284686	-5,000.000	67.520		337,288.74	-253,722.50	83,566.24			IDEC PHARMACEUTICALS CORP @ 67.52 337 600.00 BROKERAGE 300.00 TAX &/OR SEC 11.26
SAL	11-19-01	284704	-5,000.000	67.460		336,988.75	-253,722.50	83,266.25			IDEC PHARMACEUTICALS CORP @ 67.46 337 300.00 BROKERAGE 300.00 TAX &/OR SEC 11.25
TOTAL -			0.000		507,445.00	674,277.49	-507,445.00	166,832.49	0	0.00	
AMER1	INKT	INKTOMI CORP									
SAL	03-21-01	257214	-17,500.000	6.311		110,431.81	-608,597.50	-498,165.69			INKTOMI CORP @ 6.3106 110 435.50 TAX &/OR SEC 3.69 GOLDMAN SACHS & CO TRADE DATE
SAL	03-21-01	257215	-2,500.000	6.400		15,999.46	-86,942.50	-70,943.04			INKTOMI CORP @ 6.40 16 000.00 TAX &/OR SEC .54 JEFFERIES & CO INC TRADE DATE 03/
TOTAL -			-20,000.000		0.00	126,431.27	-695,540.00	-569,108.73	0	0.00	
AMER1	ITWO	I2 Technologies Inc									
PUR	07-10-01	272098	25,000.000	15.150	378,750.00				0	0.00	I2 Technologies @15.15
SAL	11-15-01	284687	-12,500.000	7.280		90,246.96	-189,375.00	-99,128.04			I2 TECHNOLOGIES INC @ 7.28 91 000.00 BROKERAGE 750.00 TAX &/OR SEC 3.04 J P MORG
SAL	11-19-01	284705	-12,500.000	7.450		92,371.89	-189,375.00	-97,003.11			I2 TECHNOLOGIES INC @ 7.45 93 125.00 BROKERAGE 750.00 TAX &/OR SEC 3.11 J P MORG
TOTAL -			0.000		378,750.00	182,618.85	-378,750.00	-196,131.15	0	0.00	
AMER1	JNPR	Juniper Networks Inc									
SAL	07-31-01	274193	-7,500.000	25.850		193,868.53	-951,319.[illegible]	-757,450.82			Juniper Networks Inc

Market Street Trust Company
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ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
	TOTAL -		-7,500.000		0.00	193,868.53	-951,319.35	-757,450.82	0	0.00	
AMER1	JPMSWEEP	J P Morgan Money Market Sweep									
PUR	01-19-01	248831	90,000.000	1.000	90,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-19-01	248832	97,802.830	1.000	97,802.83				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248833	-78,645.000	1.000		78,645.00	-78,645.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248834	-65,875.000	1.000		65,875.00	-65,875.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248835	-1,229.760	1.000		1,229.76	-1,229.76	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-24-01	249519	6,811.150	1.000	6,811.15				0	0.00	Prime Money Market Sweep Fund
SAL	01-29-01	249842	-31,198.150	1.000		31,198.15	-31,198.15	0.00			Prime Money Market Sweep Fund
PUR	02-16-01	251677	127,000.000	1.000	127,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	02-16-01	251678	174,369.180	1.000	174,369.18				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	02-16-01	251679	165,775.720	1.000	165,775.72				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	02-16-01	251680	-336,483.000	1.000		336,483.00	-336,483.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	03-22-01	257216	-211,309.160	1.000		211,309.16	-211,309.16	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	03-28-01	259159	14,698.840	1.000	14,698.84				0	0.00	Prime Money Market Sweep Fund
PUR	04-19-01	262741	271,586.940	1.000	271,586.94				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-19-01	262742	35,155.070	1.000	35,155.07				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-19-01	262743	53,097.850	1.000	53,097.85				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-19-01	262744	331,861.760	1.000	331,861.75				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-19-01	262745	-35,155.070	1.000		35,155.07	-35,155.07	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-24-01	263792	52,470.240	1.000	52,470.24				0	0.00	Prime Money Market Sweep Fund
PUR	04-25-01	263793	37,845.730	1.000	37,845.73				0	0.00	Prime Money Market Sweep Fund
PUR	05-17-01	266093	1,424,600.000	1.000	1,424,500.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266094	113,711.480	1.000	113,711.48				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266095	137,387.910	1.000	137,387.91				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266096	8,500.000	1.000	8,500.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266097	20,932.050	1.000	20,932.05				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266098	80,651.310	1.000	80,651.31				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-17-01	266099	-22,012.500	1.000		22,012.50	-22,012.50	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-21-01	267053	-112,172.500	1.000		112,172.50	-112,172.50	0.00			Prime Money Market Sweep Fund
PUR	06-01-01	268471	842,600.000	1.000	842,600.00				0	0.00	Prime Money Market Sweep Fund
SAL	06-20-01	269653	-114,158.250	1.000		114,158.25	-114,158.25	0.00			Prime Money Market Sweep Fund
SAL	06-26-01	270509	-797,468.000	1.000		797,468.00	-797,468.00	0.00			Prime MM Sweep Fund
SAL	06-27-01	270511	-4,593.750	1.000		4,593.75	-4,593.75	0.00			Prime MM Sweep Fund
SAL	06-29-01	270603	-575,472.000	1.000		575,472.00	-575,472.00	0.00			Prime MM Sweep Fund
SAL	07-02-01	272096	-317,750.000	1.000		317,750.00	-317,750.00	0.00			Prime MM Sweep Fund

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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	07-13-01	272097	-378,750.000	1.000		378,750.00	-378,750.00	0.00			Prime MM Sweep Fund
SAL	07-16-01	272959	-17,096.330	1.000		17,096.33	-17,096.33	0.00			Prime MM Sweep Fund
SAL	07-17-01	272960	-675,894.400	1.000		675,894.40	-675,894.40	0.00			Prime MM Sweep Fund
SAL	07-18-01	272962	-600.490	1.000		600.49	-600.49	0.00			Prime MM Sweep Fund
SAL	07-24-01	273409	-284,877.760	1.000		284,877.76	-284,877.76	0.00			Prime MM Sweep Fund
SAL	07-31-01	273679	-88,998.120	1.000		88,998.12	-88,998.12	0.00			Prime MM Sweep Fund
PUR	08-03-01	274587	131,992.110	1.000	131,992.11				0	0.00	Prime MM Sweep Fund
PUR	08-06-01	274588	240,701.960	1.000	240,701.96				221,203	221,203.13	Prime MM Sweep Fund
SAL	10-15-01	280799	-139,234.000	1.000		139,234.00	-139,234.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	280800	-11,794.860	1.000		11,794.86	-11,794.86	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-18-01	281603	-462.080	1.000		462.08	-462.08	0.00			Prime MM Sweep Fund
PUR	11-13-01	283447	31,194.560	1.000	31,194.56				31,195	31,194.56	Prime MM Sweep Fund
PUR	11-23-01	284713	4,582,277.400	1.000	4,582,277.40				4,582,277	4,582,277.40	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	11-23-01	284714	4,682,112.620	1.000	4,682,112.62				4,682,113	4,682,112.62	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
	TOTAL -		9,453,806.520		13,755,036.70	4,301,230.18	-4,301,230.18	0.00	9,516,788	9,516,787.71	
AMER1	KANA	Kana Communications Inc									
PUR	01-08-01	248830	10,000.000	6.588	65,875.00				0	0.00	KANA COMMUNICATIONS INC @ 6.5875 GOLDMAN SACHS & CO TRADE DATE 01/08/01
PUR	11-07-01	283448	50,000.000	1.134	56,720.00				0	0.00	Kana Software Inc @1.1344
SAL	11-15-01	284688	-40,000.000	1.667		64,289.77	-344,849.32	-280,559.55			KANA SOFTWARE INC @ 1.6673 91 701.50 BROKERAGE 3 300.00 TAX &/OR SEC 3.06 J P MC
SAL	11-15-01	284688	-15,000.000	1.667		24,108.67	-129,318.49	-105,209.82			KANA SOFTWARE INC @ 1.6673 91 701.50 BROKERAGE 3 300.00 TAX &/OR SEC 3.06 J P MC
SAL	11-19-01	284706	-55,000.000	1.743		92,545.30	-474,167.81	-381,622.51			KANA SOFTWARE INC @ 1.7427 95 848.50 BROKERAGE 3 300.00 TAX &/OR SEC 3.20 J P MC
	TOTAL -		-50,000.000		122,595.00	180,943.74	-948,335.62	-767,391.88	0	0.00	
AMER1	NTAP	Network Appliance Inc									
SAL	04-30-01	264600	-4,800.000	22.716		109,033.64	-382,817.53	-273,783.89			Network Appliance Inc @22.716
SAL	05-01-01	267832	-200.000	23.440		4,677.84	-15,950.73	-11,272.89			Network Appliance Inc
PUR	06-15-01	269654	7,500.000	15.171	114,158.25				0	0.00	Network Appliance @15.1711
SAL	08-01-01	274590	-4,000.000	15.840		63,357.88	-164,136.48	-100,778.60			Network Appliance @15.84
PUR	10-01-01	280798	21,500.000	6.476	139,234.00				0	0.00	NETWORK APPLIANCE INC @ 6.476 TROSTER SINGER STEVENS ROTHCHILD TRADE DATE 10/01/
SAL	11-07-01	283450	-5,000.000	17.634		87,914.56	-81,337.34	6,577.22			Network Appliance Inc @17.6335
SAL	11-15-01	284689	-12,500.000	15.880		197,743.38	-203,343.35	-5,599.97			NETWORK APPLIANCE INC @ 15.88 198 500.00 BROKERAGE 750.00 TAX &/OR SEC 6.62 J P
SAL	11-19-01	284707	-12,500.000	16.240		202,243.23	-203,343.34	-1,100.11			NETWORK APPLIANCE INC @ 16.24 203 000.00 BROKERAGE 750.00 TAX &/OR SEC 6.77 J P
	TOTAL -		-10,000.000		253,392.25	664,970.53	-1,050,928.77	-385,958.24	0	0.00	

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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
AMER1	PCLN	Priceline.Com Inc									
SAL	05-01-01	266089	-5,000.000	6.050		30,248.99	-281,016.38	-250,767.39			PRICELINE COM INC @ 6.05 30 250.00 TAX &/OR SEC 1.01 JEFFERIES & CO INC TRADE D
PUR	05-14-01	266092	5,000.000	4.403	22,012.50				0	0.00	PRICELINE COM INC @ 4.4025 NEEDHAM & CO TRADE DATE 05/14/01
PUR	05-16-01	267054	25,000.000	4.487	112,172.50				0	0.00	Priceline.Com Inc @4.4869
SAL	11-15-01	284690	-15,000.000	4.490		66,447.75	-325,744.70	-259,296.95			PRICELINE COM INC @ 4.49 101 025.00 BROKERAGE 1 350.00 TAX &/OR SEC 3.37 J P MO
SAL	11-15-01	284690	-7,500.000	4.490		33,223.88	-162,872.35	-129,648.47			PRICELINE COM INC @ 4.49 101 025.00 BROKERAGE 1 350.00 TAX &/OR SEC 3.37 J P MO
SAL	11-19-01	284708	-22,500.000	4.158		92,197.38	-488,617.07	-396,419.69			PRICELINE COM INC @ 4.1678 93 550.50 BROKERAGE 1 350.00 TAX &/OR SEC 3.12 J P M
	TOTAL -		-20,000.000		134,185.00	222,118.00	-1,258,250.50	-1,036,132.50	0	0.00	
AMER1	RBAK	Redback Networks Inc									
SAL	04-16-01	262738	-1,600.000	18.473		29,555.81	-221,784.00	-192,228.19			REDBACK NETWORKS INC @ 18.473 29 556.80 TAX &/OR SEC .99 JEFFERIES & CO INC TRA
SAL	04-16-01	262739	-900.000	18.542		16,686.97	-124,753.50	-108,066.53			REDBACK NETWORKS INC @ 18.5417 16 687.53 TAX &/OR SEC .56 GOLDMAN SACHS & CO TR
SAL	04-19-01	263795	-2,500.000	21.213		53,029.48	-346,537.50	-293,508.02			Redback Networks @21.2125
	TOTAL -		-5,000.000		0.00	99,272.26	-693,075.00	-593,802.74	0	0.00	
AMER1	SCMR	Sycamore Networks Inc.									
PUR	07-26-01	273681	5,000.000	6.447	32,233.00				0	0.00	Sycamore Networks Inc @6.4466
SAL	11-15-01	284691	-10,000.000	6.420		63,597.86	-678,872.61	-615,274.75			SYCAMORE NETWORKS INC @ 6.42 64 200.00 BROKERAGE 600.00 TAX &/OR SEC 2.14 J P M
SAL	11-19-01	284709	-5,000.000	6.480		32,098.92	-339,436.31	-307,337.39			SYCAMORE NETWORKS INC @ 6.48 64 800.00 BROKERAGE 600.00 TAX &/OR SEC 2.16 J P M
SAL	11-19-01	284709	-5,000.000	6.480		32,098.92	-339,436.31	-307,337.39			SYCAMORE NETWORKS INC @ 6.48 64 800.00 BROKERAGE 600.00 TAX &/OR SEC 2.16 J P M
	TOTAL -		-15,000.000		32,233.00	127,795.70	-1,357,745.23	-1,229,949.53	0	0.00	
AMER1	SEBL	Siebel Systems Inc									
SAL	02-06-01	251675	-2,500.000	69.750		174,369.18	-16,846.60	157,522.58			SIEBEL SYSTEMS INC @ 69.75 174 375.00 TAX &/OR SEC 5.82 HERZOG HEINE GEDULD INC
SAL	02-15-01	251676	-2,500.000	66.313		165,775.72	-16,846.60	148,929.12			SIEBEL SYSTEMS INC @ 66.3125 165 781.25 TAX &/OR SEC 5.53 HERZOG HEINE GEDULD I
SAL	03-19-01	257213	-5,000.000	27.250		136,245.45	-33,693.19	102,552.26			SIEBEL SYSTEMS INC @ 27.25 136 250.00 TAX &/OR SEC 4.55 BANCAMERICA ROBERTSON S
SAL	04-05-01	262732	-10,000.000	27.160		271,586.94	-67,386.38	204,200.56			SIEBEL SYSTEMS INC @ 27.1596 271 596.00 TAX &/OR SEC 9.06 TROSTER SINGER STEVEN
SAL	11-15-01	284692	-40,000.000	25.026		998,566.63	-269,545.54	729,021.09			SIEBEL SYSTEMS INC @ 25.025 1 001 000.00 BROKERAGE 2 400.00 TAX &/OR SEC 33.37
SAL	11-19-01	284710	-40,000.000	25.485		1,016,966.02	-269,545.54	747,420.48			SIEBEL SYSTEMS INC @ 25.485 1 019 400.00 BROKERAGE 2 400.00 TAX &/OR SEC 31.98
	TOTAL -		-100,000.000		0.00	2,763,509.94	-673,863.85	2,089,646.09	0	0.00	
AMER1	VIGN	Vignette Corp									

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	04-12-01	262735	-2,200.000	5.238		11,522.11	-96,129.68	-84,607.57			VIGNETTE CORP @ 5.2375 11 522.50 TAX &/OR SEC .39 CREDIT SUISSE FIRST BOSTON COF
SAL	04-12-01	262736	-4,200.000	5.376		22,577.18	-183,520.31	-160,943.13			VIGNETTE CORP @ 5.3757 22 577.94 TAX &/OR SEC .76 DAIN RAUSCHER INCORPORATED TRA
SAL	04-12-01	262737	-3,600.000	5.466		19,677.30	-157,303.13	-137,625.83			VIGNETTE CORP @ 5.4661 19 677.96 TAX &/OR SEC .66 MORGAN STANLEY & CO TRADE DATE
SAL	04-19-01	263796	-2,500.000	6.616		16,539.94	-109,238.28	-92,698.34			Vignette Corp @6.6162
SAL	04-20-01	263797	-5,000.000	7.569		37,845.73	-218,476.57	-180,630.84			Vignette Corp @7.5694
SAL	05-07-01	266090	-2,500.000	8.373		20,932.05	-109,238.28	-88,306.23			VIGNETTE CORP @ 8.3731 20 932.75 TAX &/OR SEC .70 BANCAMERICA ROBERTSON STEPHENS
SAL	05-08-01	266091	-9,100.000	8.065		73,392.69	-397,627.35	-324,234.66			VIGNETTE CORP @ 8.0654 80 654.00 TAX &/OR SEC 2.69 BANCAMERICA ROBERTSON STEPHEN
SAL	05-08-01	266091	-900.000	8.065		7,258.62	-39,325.78	-32,067.16			VIGNETTE CORP @ 8.0654 80 654.00 TAX &/OR SEC 2.69 BANCAMERICA ROBERTSON STEPHEN
PUR	06-26-01	270601	10,000.000	8.175	81,750.00				0	0.00	Vignette Corp @8.175
PUR	06-26-01	270602	60,000.000	8.229	493,722.00				0	0.00	Vignette Corp @8.2287
SAL	11-15-01	284693	-35,000.000	6.510		225,742.40	-287,736.00	-61,993.60			VIGNETTE CORP @ 6.51 227 850.00 BROKERAGE 2 100.00 TAX &/OR SEC 7.60 J P MORGAN
SAL	11-19-01	284711	-35,000.000	6.700		232,392.18	-287,736.00	-55,343.82			VIGNETTE CORP @ 6.70 234 500.00 BROKERAGE 2 100.00 TAX &/OR SEC 7.82 J P MORGAN
	TOTAL -		-30,000.000		575,472.00	667,880.20	-1,886,331.38	-1,218,451.18	0	0.00	
AMER1	YHOO	Yahoo Inc									
SAL	11-15-01	284694	-32,500.000	14.770		478,058.99	-459,302.01	18,756.98			YAHOO INC @ 14.77 480 025.00 BROKERAGE 1 950.00 TAX &/OR SEC 16.01 J P MORGAN SE
SAL	11-19-01	284712	-32,500.000	15.880		514,132.79	-459,302.01	54,830.78			YAHOO INC @ 15.88 516 100.00 BROKERAGE 1 950.00 TAX &/OR SEC 17.21 J P MORGAN SE
	TOTAL -		-65,000.000		0.00	992,191.78	-918,604.02	73,587.76	0	0.00	
ASHFD	ABGX	Abgenix Inc									
PUR	12-11-01	287628	2,000.000	32.000	64,000.00				2,000	64,000.00	Abegenix Inc @32.00
	TOTAL -		2,000.000		64,000.00	0.00	0.00	0.00	2,000	64,000.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
ASHFD	ABGX	Abgenix Inc	10,000.000	SHRS	22.934	229,338.80	33.640	12-31-01	67,280.00	-162,058.80

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ASHFD	ABI	Applera Corp-Applied Biosystem									
SAL	01-09-01	249121	-1,000.000	67.048		66,985.86	-44,743.93	22,241.93			Applera Corp-Applied Biosystem
SAL	01-31-01	250367	-300.000	85.500		25,631.14	-13,423.18	12,207.96			Applera Corp-Applied BioSystem
SAL	02-08-01	251890	-900.000	75.000		67,443.75	-40,269.53	27,174.22			Applera Corp-Applied Biosystem
	TOTAL -		-2,200.000		0.00	160,060.75	-98,436.64	61,624.11	0	0.00	

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04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT
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ENTITY INVESTMENT DESCRIPTION -..                                                                      REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY     PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -                                    QUANTITY UOM     AVERAGE        COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ENTITY INVESTMENT DESCRIPTION                       1,998.000 SHRS      44.744     89,398.36    39.270  12-31-01     78,461.46      -10,936.90
     ASHFD  ABI      Applera Corp-Applied Biosystem

ASHFD  ACTL      Actel Corp                                                                                                       Actel Corp @25.20
SAL   04-18-01     263806        -4,300.000   25.200                108,356.38    -127,865.27   -19,508.89
                                -------------          ----------- ------------- ---------------  ------------ ------------ -----------
     TOTAL -                     -4,300.000                  0.00   108,356.38    -127,865.27   -19,508.89             0         0.00

     CURRENT HOLDINGS -                                    QUANTITY UOM     AVERAGE        COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ENTITY INVESTMENT DESCRIPTION                       6,123.000 SHRS      27.450    168,075.21    19.910  12-31-01    121,908.93      -46,166.28
     ASHFD  ACTL      Actel Corp

ASHFD  ADLR      Adolor Corp                                                                              5,000     80,000.00  Adolor Corp @16.00
PUR   05-14-01     267065         5,000.000   16.000    80,000.00                                         2,000     32,000.00  Adolor Corp @15.97
PUR   10-12-01     281611         2,000.000   15.970    32,000.00                                         3,000     48,000.00  Adolor Corp @15.97
PUR   10-15-01     281620         3,000.000   15.970    48,000.00
                                -------------          ----------- ------------- ---------------  ------------ ------------ -----------
     TOTAL -                     10,000.000            160,000.00          0.00            0.00          0.00      10,000    160,000.00

     CURRENT HOLDINGS -                                    QUANTITY UOM     AVERAGE        COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ENTITY INVESTMENT DESCRIPTION                      13,000.000 SHRS      15.286    198,716.10    17.950  12-31-01    179,500.00      -19,216.10
     ASHFD  ADLR      Adolor Corp

ASHFD  AGM       Federal Agricultural Mortgage
     CURRENT HOLDINGS -                                    QUANTITY UOM     AVERAGE        COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ENTITY INVESTMENT DESCRIPTION                      12,000.000 SHRS      12.700    152,402.82    40.500  12-31-01    486,000.00      333,597.18
     ASHFD  AGM       Federal Agricultural Mortgage

ASHFD  AH        Armor Holdings Inc
     CURRENT HOLDINGS -                                    QUANTITY UOM     AVERAGE        COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ENTITY INVESTMENT DESCRIPTION                       9,900.000 SHRS      13.546    134,105.80    26.990  12-31-01    267,201.00      133,095.20
     ASHFD  AH        Armor Holdings Inc

ASHFD  ALLC      Allied Capital Corp
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

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ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  ALLC       Allied Capital Corp                16,437.000 SHRS      16.445      278,309.20     26.000 12-31-01     427,362.00      157,052.80

ASHFD  AMIE       Ambassadors International Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  AMIE       Ambassadors International Inc      26,700.000 SHRS       5.861      156,495.57     20.990 12-31 01     545,740.00      389,244.43

ASHFD  ASHFORD    Ashford Capital Management
PUR   03-01-01    260704             0.000      0.000    31,310.00                                                        0         0.00 To correct P/Y K-1 adjustment
SAL   03-01-01    263991             0.000      0.000                  31,310.00      -31,310.00          0.00                           To correct P/Y K-1 adjustment
                              ------------             ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                        0.000               31,310.00     31,310.00      -31,310 00          0.00            0         0.00

ASHFD  ATSN       Artesyn Technologies Inc
SAL   09-07-01    278306        -8,078.000      7.789                  62,915.02     -146,076.00    -83,160.98                           Artesyn Technologies Inc
                              ------------             ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                   -8,078.000                    0.00     62,915.02     -146,076.00    -83,160.98            0         0.00

ASHFD  BCP        Balchem Corp CL B
PUR   03-13-01    257239         5,800.000     15.158    88,205.82                                                    5,800    88,205.82 Balchem Corp CL B
PUR   05-16-01    267061         2,000.000     14.995    30,090.00                                                    2,000    30,090.00 Balchem Corp CL B @14.995
PUR   07-17-01    272973         4,300.000     17.917    77,256.81                                                    4,300    77,356.81 Balchem Corp CL B @17.9167
PUR   12-20-01    288193           200.000     31.556     4,323.12                                                      200     4,323.12 Balchem Corp Cl B @21.5556
PUR   12-20-01    288194           300.000     21.000     6,315.00                                                      300     6,316.00 Balchem Corp Cl B @21.00
                              ------------             ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                   12,600.000              206,190.75          0.00            0.00          0.00       12,600   206,190.75

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  BCP        Balchem Corp CL B                  12,600.000 SHRS      16.364      206,190.75     21.350 12-31-01     269,010.00       62,819.25

ASHFD  BRO        Brown & Brown Inc
SPLDV 11-23-01    284807         8,372.000                    0.00                                                        0         0.00 Brown & Brown 2 for 1 split
                              ------------             ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                    8,372.000                    0.00          0.00            0.00          0.00            0         0.00
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                                                                   Market Street Trust Company
04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT
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ENTITY INVESTMENT DESCRIPTION...                                                                           REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM      AVERAGE           COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  BRO        Brown & Brown Inc                       16,744.000 SHRS       7.480      125,250.00     27.300  12-31-01     457,111.20      331,861.20

ASHFD  CBPH       Cephalon Inc
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM      AVERAGE           COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CBPH       Cephalon Inc                             4,262.000 SHRS      29.544      125,915.65     75.585  12-31-01     322,143.27      196,227.62

ASHFD  CGPI       Collagenex Pharmaceuticals Inc
PUR   04-10-01   262777           3,500.000     6.250     21,875.00                                                       3,500     21,875.00  Collagenex Pharmaceuticals Inc
PUR   04-11-01   262778           3,500.000     6.250     21,875.00                                                       3,500     21,875.00  Collagenex Pharmaceuticals Inc
PUR   06-18-01   269668           1,000.000     6.880      6,880.00                                                       1.000      6,880.00  Collagenex Pharmaceuticals Inc
PUR   06-19-01   270516          12,000.000     7.000     84,000.00                                                      12,000     84,000.00  Collagenex Pharmaceutical Inc
                              ---------------           ------------ ------------- --------------- -------------  ----------  ------------
     TOTAL -                     20,000.000              134,630.00          0.00            0.00          0.00      20,000    134,630.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM      AVERAGE           COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CGPI       Collagenex Pharmaceuticals Inc          20,000.000 SHRS       6.732      134,630.00      8.100  12-31-01     162,000.00       27,370.00

ASHFD  CLHL       Carlisle Holdings LTD
PUR   03-26-01   259172             200.000     4.550        910.00                                                           0          0.00  Carlisle Holdings LTD @4.55
SAL   10-29-01   282668         -27,023.000     1.761                    47,591.32     -146,094.00    -98,502.68                                Carlisle Holdings LTD
SAL   10-29-01   282668            -200.000     1.761                       352.23         -910.00       -557.77                                Carlisle Holdings LTD
                              ---------------           ------------ ------------- --------------- -------------  ----------  ------------
     TOTAL -                    -27,023.000                  910.00     47,943.55     -147,004.00    -99,060.45           0          0.00

ASHFD  CLRS       Clarus Corp Del
PUR   06-07-01   268054           6,300.000     5.211     32,830.56                                                       6,300     32,830.56  Clarus Corp @5.2112
PUR   06-08-01   269663           9,800.000     5.431     53,226.74                                                       9,800     53,226.74  Clarus Corp Del @5.4313
PUR   06-11-01   269664           8,900.000     5.315     47,299.94                                                       8,900     47,299.94  Clarus Corp Del @5.3146
PUR   10-12-01   281612          25,000.000     3.800     95,000.00                                                      25,000     95,000.00  Clarus Corp @3.80
                              ---------------           ------------ ------------- --------------- -------------  ----------  ------------
     TOTAL -                     50,000.000              228,357.24          0.00            0.00          0.00      50,000    228,357.24
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                                                                         Market Street Trust Company
04-23-02                                                           PURCHASE / SALE DETAIL HISTORY REPORT                                                    PAGE 11
FC3.3                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                     REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY  COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE            COST      PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  CLRS       Clarus Corp Del             50,000.000 SHRS          4.567      228,357.24      6.240  12-31-01      312,000.00      83,642.76

ASHFD  CNVR       Convera Corp CL A
CNVTO 01-03-01    249124           6,320.000     26.473    167,306.22                                                          0        0.00  Excalibur exchange to Convera
PUR   04-19-01    263802           3,100.000      5.750     17,825.00                                                          0        0.00  Convera Corp @5.75
PUR   04-24-01    264152           3,100.000      5.800     17,980.00                                                          0        0.00  Convera Corp Cl A @5.80
SAL   06-04-01    268859          -6,320.000      4.180                    26,416.71    -167,306.22   -140,889.51                             Convera Corp @4.18
SAL   10-12-01    281610          -6,200.000      2.511                    15,569.54     -35,805.00    -20,235.46                             Convera Corp CL A
                               -------------            ------------- -------------- --------------- -------------   --------  ----------
      TOTAL -                          0.000               203,111.22      41,986.25    -203,111.22   -161,124.97          0        0.00

ASHFD  CPC        Central Parking Corp
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE            COST      PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  CPC        Central Parking Corp        30,000.000 SHRS         19.258      577,743.21     19.640  12-31-01      589,200.00      11,456.79

ASHFD  CPRT       Copart Inc
SAL   03-07-01    256184            -800.000     20.913                    16,729.84     -10,290.48      6,439.36                             Copart Inc @20.913
SAL   03-08-01    256185            -500.000     21.353                    10,675.99      -6,431.55      4,244.44                             Copart Inc @21.3527
SAL   03-20-01    259173          -1,000.000     19.672                    19,671.04     -12,863.10      6,807.94                             Copart Inc @19.6717
SAL   03-27-01    259174          -1,200.000     20.023                    24,026.79     -15,435.71      8,591.08                             Copart Inc @20.023
SAL   03-29-01    260698            -800.000     20.001                    16,000.26     -10,290.48      5,709.78                             Copart Inc @20.001
SAL   04-04-01    263808            -800.000     20.013                    16,010.10     -10,290.48      5,719.62                             Copart Inc @20.0133
SAL   04-10-01    262770          -1,500.000     20.143                    30,212.89     -19,294.64     10,918.25                             Copart Inc @20.1426
SAL   06-26-01    270605          -3,400.000     28.020                    95,264.82     -43,734.52     51,530.30                             Copart Inc @28.02
SAL   07-18-01    273413          -1,000.000     29.857                    29,856.30     -12,863.10     16,993.20                             Copart Inc @29.8573
SAL   07-23-01    273414          -1,000.000     29.500                    29,499.01     -12,863.10     16,635.91                             Copart Inc @29.50
                               -------------            ------------- -------------- --------------- -------------   --------  ----------
      TOTAL -                        -12,000.000                 0.00     287,947.04    -154,357.16    133,589.88          0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE            COST      PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  CPRT       Copart Inc                  19,723.000 SHRS          8.576      169,136.84     36.370  12-31-01      478,229.13     309,092.29

ASHFD  CRA2       APPLERA Corp-Celera Genomics
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                                                                  Market Street Trust Company
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ENTITY INVESTMENT DESCRIPTION                                                                              REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER           QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CRA2     APPLERA Corp-Celera Genomics       2,730.000 SHRS        61.147     166,932.00     26.690  12-31-01     72,863.70      -94,068.30

ASHFD  CSGP     CoStar Group Inc
PUR   12-10-01      287037          4,000.000     20.010    80,040.00                                                   4,000     80,040.00  CoStar Group @20.01
PUR   12-14-01      287633          6,000.000     19.850   119,100.00                                                   6,000    119,100.00  Costar Group Inc @19.85
                                --------------            ------------ ------------- --------------- ------------- ------------ ------------
     TOTAL -                       10,000.000              199,140.00          0.00            0.00          0.00      10,000    199,140.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CSGP     CoStar Group Inc                  10,000.000 SHRS        19.914     199,140.00     24.010  12-31-01    240,100.00       40,960.00

ASHFD  CSGS     CSG Systems International Inc
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CSGS     CSG Systems International Inc     11,900.000 SHRS        33.461     398,180.95     40.450  12-31-01    481,355.00       83,174.05

ASHFD  CUZ      Cousins Properties Inc.
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CUZ      Cousins Properties Inc.            9,091.000 SHRS        19.514     177,400.00     24.360  12-31-01    221,456.76       44,056.76

ASHFD  CVAS     Corvas International Inc
PUR   09-25-01      278919          1,800.000      5.549     9,988.38                                                   1,800      9,988.38  Corvas Internatrional Inc
PUR   09-26-01      279049          4,700.000      5.542    26,045.99                                                   4,700     26,045.99  Corvas International Inc
PUR   09-26-01      279160          6,500.000      5.638    36,647.00                                                   6,500     36,647.00  Corvas International Inc
PUR   10-12-01      281613          4,500.000      6.185    27,832.50                                                   4,500     27,832.50  Corvas International @6.185
PUR   10-15-01      281621          2,500.000      6.603    16,582.00                                                   2,500     16,582.00  Corvas International @6.6028
PUR   11-08-01      284813          5,000.000      5.550    27,750.00                                                   5,000     27,750.00  Corvas International @5.55
                                --------------            ------------ ------------- --------------- ------------- ------------ ------------
     TOTAL -                       25,000.000              144,846.87          0.00            0.00          0.00      25,000    144,846.87

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  CVAS     Corvas International Inc          25,000.000 SHRS         5.794     144,845.87      6.550  12-31-01    163,750.00       18,904.13
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ENTITY INVESTMENT DESCRIPTION...                                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE  COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION

ASHFD  DRTK       Duratek Inc
PUR   12-10-01    287038         45,000.000     3.950  177,750.00                                                  45,000   177,750.00 Duratek Inc @3.95

      TOTAL -                    45,000.000            177,750.00         0.00           0.00          0.00        45,000   177,780.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  DRTK       Duratek Inc                    90,000.000 SHRS       5.379     484,120.13     4.470 12-31-01     402,300.00      -81,820.13

ASHFD  EPAX       Ambassador Group Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  EPAX       Ambassador Group Inc           26,700.000 SHRS       8.114     216,646.00                                         -216,646.00

ASHFD  EPIQ       EPIQ Systems Inc.
SPLDV 02-26-01    282182          7,810.000                  0.00                                                       0         0.00 EpiQ Inc 3 for 2 stock split
SAL   05-09-01    266326           -300.000    26.108                  7,832.19      -1,603.30      6,228.89                           Epiq Systems Inc @26.1082
SAL   05-10-01    266327           -200.000    26.338                  5,267.32      -1,068.87      4,198.45                           Epiq Systems Inc @26.3375
SAL   05-11-01    267066           -500.000    28.000                 13,999.63      -2,672.17     11,327.36                           Epiq Systems Inc @28.00
SAL   05-14-01    266328           -500.000    30.248                 15,123.49      -2,672.16     12,451.33                           Epiq Systems Inc @30.248
SAL   05-15-01    267801           -600.000    30.417                 18,249.29      -3,206.60     15,042.69                           Epiq Systems @30.4165
SAL   06-04-01    268862         -2,100.000    33.233                 69,787.18     -11,223.09     58,564.09                           EPIQ Systems Inc @33.2331
SPLDV 12-03-01    287026          9,615.000                  0.00                                                       0         0.00 EPIQ Systems 3 for 2 split
SAL   12-10-01    287055         -3,846.000    17.200                 66,148.99     -13,703.10     52,445.89                           Epiq Systems @17.20

      TOTAL -                     9,379.000                  0.00    196,407.99     -36,149.29    160,258.70            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  EPIQ       EPIQ Systems Inc.              25,000.000 SHRS       3.563      89,073.71    19.350 12-31-01     483,750.00      394,676.29

ASHFD  EPIX       EPIX Medical Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ASHFD  EPIX       EPIX Medical Inc                7,400.000 SHRS      12.600      92,500.00                                          -92,500.00
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                                               Market Street Trust Company
04-23-02                                   PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                     REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION                                                                                  
TYPE  TXN DATE TXN NUMBER          QUANTITY    PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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ASHFD  EQIX       Equinix Inc
PUR    02-16-01     252180        22,000.000    4.125    90,750.00                                                   22,000    90,750.00 Equinex Inc @4.125
PUR    04-05-01     262775        20,000.000    1.010    20,190.00                                                   20,000    20,190.00 Equinex Inc @1.0095
PUR    04-06-01     262776        30,000.000    0.913    27,375.00                                                   30,000    27,375.00 Equinex Inc @1.0095
PUR    04-11-01     262783        30,000.000    1.279    38,358.00                                                   30,000    38,358.00 Equinex Inc @1.2786
PUR    09-19-01     278918        50,000.000    0.530    26,500.00                                                   50,000    26,500.00 Equinex Inc @0.53
                                ------------           ------------ ------------- --------------- ------------- ----------- ------------
       TOTAL -                   152,000.000            203,173.00          0.00            0.00          0.00     152,000   203,173.00

       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM        AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
       ASHFD  EQIX       Equinix Inc               130,000.000 SHRS        0.865    112,423.00      3.900  12-31-01    585,800.00      473,377.00

ASHFD  EXCA       Excalibur Technologies Corp
CNVFR 01-03-01      249124        -6,320.000   17.750                 167,306.22     -167,306.22          0.00                           Excalibur exchange to Convera
                                ------------           ------------ ------------- --------------- ------------- ----------- ------------
       TOTAL -                    -6,320.000                  0.00    167,306.22     -167,306.22          0.00           0         0.00

ASHFD  FCN        FTI Consulting Inc
PUR    04-10-01     262779         5,000.000   14.010    70,302.00                                                    5,000    70,302.00 FTI Consulting Inc @14.0104
                                ------------           ------------ ------------- --------------- ------------- ----------- ------------
       TOTAL -                     5,000.000             70,302.00          0.00            0.00          0.00       5,000    70,302.00

       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM        AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
       ASHFD  FCN        FTI Consulting Inc          7,500.000 SHRS        9.374     70,302.00     32.800  12-31-01    164,000.00       93,698.00

ASHFD  FYII       P Y I Inc
PUR    05-16-01     267062         2,000.000   40.540    81,080.00                                                    2,000    81,080.00 F Y I Inc @40.54
PUR    05-18-01     267063         1,900.000   41.174    78,230.41                                                    1,900    78,230.41 F Y I Inc @41.1739
                                ------------           ------------ ------------- --------------- ------------- ----------- ------------
       TOTAL -                     3,900.000            159,310.41          0.00            0.00          0.00       3,900   159,310.41

ASHFD  GLB        Glenborough Realty Trust Inc
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM        AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
       ASHFD  GLB        Glenborough Realty Trust Inc 8,539.000 SHRS      10.999     93,917.00     19.400  12-31-01    165,656.60       71,739.60
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04-23-02                                                                    Market Street Trust Company                                                              PAGE 15
FC3.3                                                                 PURCHASE / SALE DETAIL HISTORY REPORT
                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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ASHFD  GSPNV      Globespan Virata Inc
CNVTO 12-19-01    287658.1           1,326.000     19.859     26,332.80                                                     1,326     26,332.80  Virata exchange to Globespan
CNVTO 12-19-01    287658.2           1,632.000     18.570     30,305.60                                                     1,632     30,305.60  Virata exchange to Globespan
CNVTO 12-19-01    287658.3           1,020.000     18.488     18,858.00                                                     1,020     18,858.00  Virata exchange to Globespan
CNVTO 12-19-01    287658.4           1,734.000     18.350     31,818.14                                                     1,734     31,818.14  Virata exchange to Globespan
                                 -------------            ------------- ------------- ------------- -------------  ------------ -------------
      TOTAL -                        5,712.000               107,314.54          0.00          0.00          0.00         5,712    107,314.54

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  GSPNV      Globespan Virata Inc                 5,712.000 SHRS      18.788      107,314.54      12.950 12-31-01        73,970.40      -33,344.14

ASHFD  IIIQ       3I Bioscience Inv Tr PLC
SAL   11-21-01      285647         -50,000.000      5.501                  275,041.96   -225,759.43     49,282.53                              3I Bioscience Inv Trust PLC
SAL   12-04-01      288073         -28,579.000      5.506                  157,364.41   -129,039.57     28,324.84                              3I Bioscience Inv Trust PLC
                                 -------------            ------------- ------------- ------------- -------------  ------------ -------------
      TOTAL -                      -78,579.000                     0.00    432,406.37   -354,799.00     77,607.37             0          0.00

ASHFD  INHL       Inhale Therapeutic Systems
SAL   04-30-01      264554          -1,300.000     33.262                   43,239.15    -29,991.13     13,248.02                              Inhale Therapeutic Systems
                                 -------------            ------------- ------------- ------------- -------------  ------------ -------------
      TOTAL -                       -1,300.000                     0.00     43,239.15    -29,991.13     13,248.02             0          0.00

ASHFD  IRC.480707 Int'l Rectifier 4.25% 07/15/07
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  IRC.480707 Int'l Rectifier 4.25% 07/15/07     400,000.000 PAR       74.281      297,125.00      83.360 12-31-01       333,440.00       36,315.00

ASHFD  IRF        CB Cephalon Inc 5.25% 5/1/06
PUR   10-02-01      280804         120,000.000     95.477    114,572.40                                                   120,000    114,572.40  CB Cephalon Inc 5.25% 5/1/06
                                 -------------            ------------- ------------- ------------- -------------  ------------ -------------
      TOTAL -                      120,000.000               114,572.40          0.00          0.00          0.00       120,000    114,572.40

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  IRF        CB Cephalon Inc 5.25% 5/1/06       140,000.000 PAR       97.837      136,972.40     121.500 12-31-01       145,800.00        8,827.60
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                                                        Market Street Trust Company
04-23-02                                           PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS DESCRIPTION
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ASHFD  ISCA      International Speedway Corp
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  ISCA      International Speedway Corp          9,000.000 SHRS      33.998     305,985.50    39.100 12-31-01     351,900.00      45,914.50

ASHFD  ISYS      Integral Systems Inc MD
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  ISYS      Integral Systems Inc MD             22,700.000 SHRS      15.069     342,061.14    19.250 12-31-01     436,975.00      94,913.86

ASHFD  IUSA      Infousa Inc
SAL   01-23-01    249526     -28,888.000      2.450                  70,773.24    -125,223.00    -54,449.76                          Infousa Inc @2.45
SAL   04-06-01    262768     -11,112.000      4.250                  47,224.42     -32,641.60     14,582.82                          Infousa Inc @4.26
SAL   04-09-01    262769      -2,500.000      4.250                  10,624.64      -7,343.75      3,280.89                          Infousa Inc @4.25
SAL   04-26-01    264552     -10,000.000      4.250                  42,498.54     -29,375.00     13,123.54                          Infousa Inc @4.25
SAL   04-27-01    264553      -7,500.000      4.620                  34,648.84     -22,031.25     12,617.59                          Infousa Inc @4.62
                           --------------             ------------- ------------- --------------- ------------- ---------- ------------
     TOTAL -                 -60,000.000                       0.00  205,769.72    -216,614.50    -10,844.78           0         0.00

ASHFD  JPMSWEEP  J P Morgan Money Market Sweep
PUR   01-05-01    249113     201,579.090      1.000   201,579.09                                                         0         0.00 Prime Money Market Sweep Fund
PUR   01-09-01    249114      49,085.660      1.000    49,085.66                                                         0         0.00 Prime Money Market Sweep Fund
PUR   01-10-01    249115      35,984.000      1.000    35,984.00                                                         0         0.00 Prime Money Market Sweep Fund
PUR   01-12-01    249117      66,985.860      1.000    66,985.86                                                         0         0.00 Prime Money Market Sweep Fund
PUR   01-16-01    249118     119,639.160      1.000   119,639.16                                                         0         0.00 Prime Money Market Sweep Fund
SAL   01-18-01    249123      -4,079.410      1.000                   4,079.41      -4,079.41          0.00                           Prime Money Market Sweep Fund
PUR   01-22-01    249520      20,775.300      1.000    20,775.30                                                         0         0.00 Prime Money Market Sweep Fund
SAL   01-23-01    249524     -50,062.500      1.000                  50,062.50     -50,062.50          0.00                           Prime Money Market Sweep Fund
PUR   01-26-01    249521      70,773.240      1.000    70,773.24                                                         0         0.00 Prime Money Market Sweep Fund
SAL   01-29-01    249848     -10,893.750      1.000                  10,893.75     -10,893.75          0.00                           Prime Money Market Sweep Fund
SAL   01-30-01    249850     -23,859.450      1.000                  23,859.45     -23,859.45          0.00                           Prime Money Market Sweep Fund
SAL   01-31-01    249851     -16,725.000      1.000                  16,725.00     -16,725.00          0.00                           Prime Money Market Sweep Fund
PUR   02-01-01    251873      78,969.210      1.000    78,969.21                                                         0         0.00 Prime Money Market Sweep Fund
PUR   02-05-01    251875       9,281.140      1.000     9,281.14                                                         0         0.00 Prime Money Market Sweep Fund
SAL   02-06-01    251886     -11,200.000      1.000                  11,200.00     -11,200.00          0.00                           Prime Money Market Sweep Fund
SAL   02-07-01    251887     -94,332.760      1.000                  94,332.76     -94,332.76          0.00                           Prime Money Market Sweep Fund
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	02-09-01	251880	-88,446.550	1.000		88,446.55	-88,446.55	0.00			Prime Money Market Sweep Fund
PUR	02-13-01	251880	67,443.750	1.000	67,443.75				0	0.00	Prime Money Market Sweep Fund
SAL	02-15-01	251889	-38,096.650	1.000		38,096.65	-38,096.65	0.00			Prime Money Market Sweep Fund
SAL	02-23-01	251178	-90,750.000	1.000		90,750.00	-90,750.00	0.00			Prime Money Market Sweep Fund
SAL	02-28-01	252179	-15,054.180	1.000		15,054.18	-15,054.18	0.00			Prime Money Market Sweep Fund
PUR	03-02-01	256176	131,000.000	1.000	131,000.00				0	0.00	Prime Money Market Sweep Fund
PUR	03-06-01	256177	7.780	1.000	7.78				0	0.00	Prime Money Market Sweep Fund
PUR	03-08-01	256179	31,310.000	1.000	31,310.00				0	0.00	Prime Money Market Sweep Fund
PUR	03-12-01	256180	11,694.300	1.000	11,694.30				0	0.00	Prime Money Market Sweep Fund
PUR	03-13-01	256182	10,675.990	1.000	10,675.99				0	0.00	Prime Money Market Sweep Fund
SAL	03-16-01	257237	-88,205.820	1.000		88,205.82	-88,205.82	0.00			Prime Money Market Sweep Fund
PUR	03-22-01	257235	61,061.190	1.000	61,061.19				0	0.00	Prime Money Market Sweep Fund
PUR	03-23-01	259170	67,629.420	1.000	67,629.42				0	0.00	Prime Money Market Sweep Fund
SAL	03-29-01	259176	-910.000	1.000		910.00	-910.00	0.00			Prime Money Market Sweep Fund
PUR	03-30-01	259171	24,026.790	1.000	24,026.79				0	0.00	Prime Money Market Sweep Fund
SAL	04-02-01	262757	-112,425.000	1.000		112,425.00	-112,425.00	0.00			Prime Money Market Sweep Fund
PUR	04-03-01	262752	1,189,000.260	1.000	1,189,000.26				0	0.00	Prime Money Market Sweep Fund
PUR	04-04-01	262753	20,000.000	1.000	20,000.00				0	0.00	Prime Money Market Sweep Fund
PUR	04-05-01	262754	39,772.670	1.000	39,772.67				0	0.00	Prime Money Market Sweep Fund
SAL	04-10-01	262758	-76,038.000	1.000		76,038.00	-76,038.00	0.00			Prime Money Market Sweep Fund
SAL	04-11-01	262759	-30,150.580	1.000		30,150.58	-30,150.58	0.00			Prime Money Market Sweep Fund
PUR	04-12-01	262755	10,624.640	1.000	10,624.64				0	0.00	Prime Money Market Sweep Fund
SAL	04-16-01	262760	-97,938.990	1.000		97,938.99	-97,938.99	0.00			Prime Money Market Sweep Fund
SAL	04-17-01	262761	-60,233.000	1.000		60,233.00	-60,233.00	0.00			Prime Money Market Sweep Fund
SAL	04-18-01	262762	-2,107.800	1.000		2,107.80	-2,107.80	0.00			Prime Money Market Sweep Fund
PUR	04-19-01	262756	5,639.150	1.000	5,639.15				0	0.00	Prime Money Market Sweep Fund
PUR	04-20-01	263798	9,680.630	1.000	9,680.63				0	0.00	Prime Money Market Sweep Fund
PUR	04-23-01	263799	102,302.980	1.000	102,302.98				0	0.00	Prime Money Market Sweep Fund
SAL	04-24-01	263809	-24,825.000	1.000		24,825.00	-24,825.00	0.00			Prime Money Market Sweep Fund
PUR	04-26-01	263800	16,010.100	1.000	16,010.10				0	0.00	Prime Money Market Sweep Fund
SAL	04-27-01	264153	-17,980.000	1.000		17,980.00	-17,980.00	0.00			Prime Money Market Sweep Fund
PUR	05-01-01	266315	42,498.580	1.000	42,498.58				0	0.00	Prime Money Market Sweep Fund
PUR	05-02-01	266316	34,648.840	1.000	34,648.84				0	0.00	Prime Money Market Sweep Fund
PUR	05-03-01	266317	12,314.830	1.000	12,314.83				0	0.00	Prime Money Market Sweep Fund
SAL	05-08-01	266319	-70,500.000	1.000		70,500.00	-70,500.00	0.00			Prime Money Market Sweep Fund
SAL	05-14-01	266320	-7,117.810	1.000		7,117.81	-7,117.81	0.00			Prime Money Market Sweep Fund
PUR	05-15-01	266318	5,267.320	1.000	5,267.32				0	0.00	Prime Money Market Sweep Fund

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	05-17-01	266321	-79,086.510	1.000		79,086.51	-79,086.51	0.00			Prime Money Market Sweep Fund
PUR	05-18-01	267800	98,249.290	1.000	98,249.29				0	0.00	Prime Money Market Sweep Fund
SAL	05-21-01	267066	-191,170.000	1.000		191,170.00	-191,170.00	0.00			Prime Money Market Sweep Fund
SAL	05-23-01	267057	-78,230.410	1.000		78,230.41	-78,230.41	0.00			Prime Money Market Sweep Fund
PUR	05-24-01	267055	13,999.530	1.000	13,999.53				0	0.00	Prime Money Market Sweep Fund
SAL	05-25-01	267058	-15,500.000	1.000		15,500.00	-15,500.00	0.00			Prime Money Market Sweep Fund
SAL	06-01-01	268855	-14,580.000	1.000		14,580.00	-14,580.00	0.00			Prime Money Market Sweep Fund
PUR	06-07-01	268847	183,142.160	1.000	183,142.16				0	0.00	Prime Money Market Sweep Fund
SAL	06-08-01	268856	-113,004.150	1.000		113,004.15	-113,004.15	0.00			Prime Money Market Sweep Fund
SAL	06-11-01	268857	-33,232.000	1.000		33,232.00	-33,232.00	0.00			Prime Money Market Sweep Fund
SAL	06-12-01	268858	-48,855.560	1.000		48,855.56	-48,865.56	0.00			Prime Money Market Sweep Fund
SAL	06-13-01	269657	-69,286.740	1.000		69,286.74	-69,286.74	0.00			Prime Money Market Sweep Fund
SAL	06-14-01	269658	-47,299.940	1.000		47,299.94	-47,299.94	0.00			Prime Money Market Sweep Fund
SAL	06-20-01	269659	-13,100.000	1.000		13,100.00	-13,100.00	0.00			Prime Money Market Sweep Fund
SAL	06-21-01	269660	-19,680.000	1.000		19,680.00	-19,680.00	0.00			Prime Money Market Sweep Fund
SAL	06-22-01	270514	-84,000.000	1.000		84,000.00	-84,000.00	0.00			Prime MM Sweep Fund
SAL	06-28-01	270515	-11,750.000	1.000		11,750.00	-11,750.00	0.00			Prime MM Sweep Fund
PUR	06-29-01	270604	95,264.820	1.000	95,264.82				0	0.00	Prime MM Sweep Fund
PUR	07-03-01	272596	18,000.000	1.000	15,000.00				0	0.00	Prime MM Sweep Fund
SAL	07-13-01	272598	-80,030.600	1.000		80,030.60	-80,030.60	0.00			Prime MM Sweep Fund
SAL	07-16-01	272975	-108,015.000	1.000		108,015.00	-108,015.00	0.00			Prime MM Sweep Fund
PUR	07-17-01	274071	25,864.440	1.000	25,864.44				0	0.00	Prime MM Sweep Fund
SAL	07-18-01	272976	-3,298.930	1.000		3,298.93	-3,298.93	0.00			Prime MM Sweep Fund
SAL	07-19-01	272977	-24,981.000	1.000		24,981.00	-24,981.00	0.00			Prime MM Sweep Fund
PUR	07-20-01	272970	19,239.960	1.000	19,239.96				0	0.00	Prime MM Sweep Fund
PUR	07-23-01	273411	3,991.860	1.000	3,991.86				0	0.00	Prime MM Sweep Fund
PUR	07-26-01	273412	29,499.010	1.000	29,499.01				0	0.00	Prime MM Sweep Fund
SAL	08-10-01	274593	-76,177.710	1.000		76,177.71	-76,177.71	0.00			Prime MM Sweep Fund
SAL	08-15-01	275598	-31,200.000	1.000		31,200.00	-31,200.00	0.00			Prime MM Sweep Fund
SAL	08-21-01	275841	-6,708.000	1.000		6,708.00	-6,708.00	0.00			Prime MM Sweep Fund
SAL	08-22-01	275842	-12,353.000	1.000		12,353.00	-12,353.00	0.00			Prime MM Sweep Fund
SAL	08-27-01	276222	-28,871.520	1.000		28,871.52	-28,871.52	0.00			Prime MM Sweep Fund
SAL	09-04-01	278140	-5,745.000	1.000		5,745.00	-5,745.00	0.00			Prime MM Sweep Fund
PUR	09-05-01	278138	880,500.000	1.000	880,500.00				534,227	534,227.25	Prime MM Sweep Fund
SAL	09-12-01	278141	-33,704.000	1.000		33,704.00	-33,704.00	0.00			Prime MM Sweep Fund
SAL	09-13-01	278142	-2,858.290	1.000		2,858.29	-2,858.29	0.00			Prime MM Sweep Fund
PUR	09-17-01	278303	28,009.210	1.000	28,009.21				28,009	28,009.21	Prime MM Sweep Fund

04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION - .

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	09-20-01	278305	-20,161.220	1.000		20,161.22	-20,161.22	0.00			Prime MM Sweep Fund
SAL	09-24-01	278916	-26,500.000	1.000		26,500.00	-26,500.00	0.00			Prime MM Sweep Fund
SAL	09-28-01	278917	-9,988.380	1.000		9,988.38	-9,988.38	0.00			Prime MM Sweep Fund
SAL	10-01-01	280823	-62,692.990	1.000		62,692.99	-62,692.99	0.00			Prime MM Sweep Fund
SAL	10-02-01	280824	-143,930.320	1.000		143,930.32	-143,930.32	0.00			Prime MM Sweep Fund
PUR	10-03-01	280813	54,940.000	1.000	54,940.00				54,940	54,940.00	Prime MM Sweep Fund
SAL	10-05-01	280825	-191,105.950	1.000		191,105.95	-191,105.95	0.00			Prime MM Sweep Fund
SAL	10-11-01	280826	-95,015.380	1.000		95,015.38	-95,015.38	0.00			Prime MM Sweep Fund
SAL	10-12-01	280827	-28,065.400	1.000		28,065.40	-28,065.40	0.00			Prime MM Sweep Fund
SAL	10-15-01	280828	-9,600.000	1.000		9,600.00	-9,600.00	0.00			Prime MM Sweep Fund
SAL	10-16-01	281606	-36,172.000	1.000		36,172.00	-36,172.00	0.00			Prime MM Sweep Fund
SAL	10-17-01	281607	-265,657.540	1.000		265,657.54	-265,657.54	0.00			Prime MM Sweep Fund
SAL	10-18-01	281608	-363,195.390	1.000		363,195.39	-363,195.39	0.00			Prime MM Sweep Fund
SAL	10-19-01	281609	-38,200.000	1.000		38,200.00	-38,200.00	0.00			Prime MM Sweep Fund
SAL	10-23-01	282181	-8,420.000	1.000		8,420.00	-8,420.00	0.00			Prime MM Sweep Fund
SAL	10-29-01	282495	-17,624.000	1.000		17,624.00	-17,624.00	0.00			Prime MM Sweep Fund
PUR	11-01-01	283458	10,641.360	1.000	10,641.36				10,641	10,641.36	Prime MM Sweep Fund
PUR	11-02-01	283459	384,300.000	1.000	384,300.00				384,300	384,300.00	Prime MM Sweep Fund
SAL	11-09-01	283462	-127,051.400	1.000		127,051.40	-127,051.40	0.00			Prime MM Sweep Fund
SAL	11-13-01	283463	-38,018.000	1.000		38,018.00	-38,018.00	0.00			Prime MM Sweep Fund
SAL	11-14-01	284819	-27,750.000	1.000		27,750.00	-27,750.00	0.00			Prime MM Sweep Fund
SAL	11-16-01	284820	-46,768.000	1.000		46,768.00	-46,768.00	0.00			Prime MM Sweep Fund
PUR	11-19-01	284816	154,045.460	1.000	154,045.46				154,045	154,045.46	Prime MM Sweep Fund
PUR	11-20-01	284817	83,041.180	1.000	83,041.18				83,041	83,041.18	Prime MM Sweep Fund
PUR	11-29-01	285236	20.050	1.000	20.05				20	20.05	Prime MM Sweep Fund
PUR	12-03-01	287032	348,300.000	1.000	348,300.00				348,300	348,300.00	Prime MM Sweep Fund
PUR	12-07-01	287033	157,364.410	1.000	157,364.41				157,364	157,364.41	Prime MM Sweep Fund
PUR	12-12-01	287034	8.540	1.000	8.54				9	8.54	Prime MM Sweep Fund
SAL	12-13-01	287066	-591,246.660	1.000		591,246.66	-591,246.66	0.00			Prime MM Sweep Fund
SAL	12-14-01	287634	-64,000.000	1.000		64,000.00	-64,000.00	0.00			Prime MM Sweep Fund
SAL	12-17-01	287635	-44,073.970	1.000		44,073.97	-44,073.97	0.00			Prime MM Sweep Fund
SAL	12-18-01	287636	-15,850.000	1.000		15,850.00	-15,850.00	0.00			Prime MM Sweep Fund
SAL	12-19-01	287637	-147,340.000	1.000		147,340.00	-147,340.00	0.00			Prime MM Sweep Fund
SAL	12-24-01	288195	-32,980.000	1.000		32,980.00	-32,980.00	0.00			Prime MM Sweep Fund
SAL	12-26-01	288196	-10,638.120	1.000		10,638.12	-10,638.12	0.00			Prime MM Sweep Fund
	TOTAL -		405,407.830		5,131,103.16	4,725,695.33	-4,725,695.33	0.00	1,754,897	1,754,897.46	

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                                                                    Market Street Trust Company
04-23-02                                                      PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                REMAINING     REMAINING
ENTITY INVESTMENT DESCRIPTION..                                                                                               
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      ASHFD  JPMSWEEP   J P Morgan Money Market Sweep   3,051,755.210 UNTS     1.000  3,051,755.21     1.000  12-31-01   1,754,897.46    -1,296,857.75

ASHFD  KRON       Kronos Inc
SPLDV 11-16-01       284806         2,831.000                    0.00                                                   0          0.00  Kronos 3 for 2 stock split
                                ------------              ------------  ------------- --------------- ------------  ----------  ------------
      TOTAL -                       2,831.000                    0.00           0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      ASHFD  KRON       Kronos Inc                       8,498.000 SHRS     15.971    135,659.00    48.380  12-31-01     410,939.72       275,280.72

ASHFD  KRSC2      Kaiser Ventures LLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      ASHFD  KRSC2      Kaiser Ventures LLC             17,992.000 SHRS      1.500     26,988.00                                          -26,988.00

ASHFD  LABL       Multi-Color Corp
PUR   10-05-01       280819         1,100.000    16.150     17,765.00                                                   1,650     17,765.00  Multi-Color Corp @16.15
PUR   10-09-01       280820           500.000    17.000      8,500.00                                                     750      8,500.00  Multi-Color Corp @17.00
PUR   10-15-01       281623           200.000    18.050      3,610.00                                                     300      3,610.00  Multi-Color Corp @18.05
PUR   10-16-01       281628         2,000.000    19.100     38,200.00                                                   3,000     38,200.00  Multi-Color Corp @19.10
PUR   10-18-01       282180           400.000    21.050      8,420.00                                                     600      8,420.00  Multi-Color Corp @21.05
PUR   10-24-01       282494           800.000    22.000     17,624.[illegible]                                          1,200     17,624.00  Multi-Color Corp @22.00
SPLDV 12-03-01       287027         2,500.000                    0.00                                                       0          0.00  Multi-Color Corp 3 for 2 split
PUR   12-10-01       287052           500.000    16.579      8,304.65                                                     500      8,304.65  Multi-Color Corp @16.5793
PUR   12-12-01       287629         1,000.000    15.460     15,460.00                                                   1,000     15,460.00  Multi-Color Corp @15.46
PUR   12-13-01       287631         1,000.000    15.850     15,850.00                                                   1,000     15,850.00  Multi-Color Corp @15.85
PUR   12-19-01       288192         2,000.000    16.490     32,980.00                                                   2,000     32,980.00  Multi-Color Corp @16.49
                                ------------              ------------  ------------- --------------- ------------  ----------  ------------
      TOTAL -                      12,000.000              166,713.65           0.00            0.00          0.00      12,000    166,713.65

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      ASHFD  LABL       Multi-Color Corp                15,000.000 SHRS     13.734    206,013.65    18.100  12-31-01     217,200.00        11,186.35
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                                                                     Market Street Trust Company
                                                                  PURCHASE / SALE DETAIL HISTORY REPORT
04-23-02                                                          BOOK BASIS  -  FROM 01-01-01 TO 12-31-01
FC3.3
                                                                                                          REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION...                                                                          QUANTITY     COST BASIS  DESCRIPTION
TYPE  TXN DATE TXN NUMBER       QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS
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ASHFD  LFUS       Littlefuse Inc
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
       ASHFD  LFUS       Littlefuse Inc                     9,855.000 SHRS     26.472    260,882.00     26.240  12-31-01     258,595.20       -2,286.80

ASHFD  MAPS       Mapinfo Corp
PUR    10-05-01    280816        3,100.000      8.347    25,967.46                                                   3,100     25,967.46  Mapfino Corp @8.3466
PUR    10-05-01    280817        5,000.000      8.757    43,787.00                                                   5,000     43,787.00  Mapfino Corp @8.7574
PUR    10-08-01    280818          900.000      8.329     7,495.92                                                     900      7,495.92  Mapfino Corp @8.3288
PUR    10-11-01    282669        4,000.000      9.013    36,172.00                                                   4,000     36,172.00  Mapinfo Corp @9.013
PUR    10-12-01    281614          100.000      8.430       846.00                                                     100        846.00  Mapinfo Corp @8.43
PUR    10-15-01    281622        1,900.000      8.680    16,492.00                                                   1,900     16,492.00  Mapinfo Corp @8.65
                               -------------             -----------  ------------- --------------- -------------  ----------  -----------
       TOTAL -                  15,000.000              130,760.38           0.00            0.00          0.00      16,000    130,760.38

       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
       ASHFD  MAPS       Mapinfo Corp                       35,000.000 SHRS    12.152    425,312.15     15.690  12-31-01     549,160.00      123,837.85

ASHFD  MRCY       Mercury Computer Systems Inc
BAL    01-29-01    250366       -1,500.000     52.648                   78,969.21      -42,994.11     36,975.10                          Mercury Computer Systems @52.6
BAL    04-02-01    262767       -1,200.000     33.145                   39,772.67      -34,396.29      5,377.38                          Mercury Computer Systems Inc
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       TOTAL -                  -2,700.000                    0.00     118,741.88      -77,389.40     41,352.48           0          0.00

       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
       ASHFD  MRCY       Mercury Computer Systems Inc       7,494.000 SHRS     28.663    214,798.60     39.110  12-31-01     293,090.34       78,291.74

ASHFD  MYGN       Myriad Genetics Inc
PUR    01-18-01    249522        1,000.000     50.063    50,062.50                                                   1,000     50,062.50  Myriad Genetics @50.0625
PUR    02-23-01    252181          300.000     50.181    15,054.18                                                     300     15,054.18  Myriad Genetics Inc @50.1806
PUR    03-07-01    256183          100.000     50.365     5,035.54                                                     100      5,035.54  Myriad Genetics Inc @50.3554
PUR    04-10-01    262780          300.000     37.000    11,100.00                                                     300     11,100.00  Myriad Genetics Inc @37.00
PUR    07-16-01    272971          300.000     41.400    12,420.00                                                     300     12,420.00  Myriad Genetics @41.40
PUR    07-16-01    272972          300.000     41.870    12,561.00                                                     300     12,561.00  Myriad Genetics @41.87
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION - -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	10-12-01	281615	700.000	42.450	29,715.00				700	29,715.00	Myriad Genetics @42.45
	TOTAL -		3,000.000		135,948.22	0.00	0.00	0.00	3,000	135,948.22	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
ASHFD	MYGN	Myriad Genetics Inc	3,000.000	SHRS	45.316	135,948.22	52.640	12-31-01	157,920.00	21,971.78

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ASHFD	NAVG	Navigators Group Inc									
PUR	07-11-01	272974	5,700.000	[illegible].950	108,015.00				5,700	108,015.00	Navigators Group Inc @18.95
PUR	08-10-01	275599	1,600.000	19.500	31,200.00				1,600	31,200.00	Navigators Group @19.50
PUR	08-29-01	276431	300.000	19.150	5,745.00				300	5,745.00	Navigators Group Inc @19.15
PUR	10-15-01	281624	1,400.000	17.116	24,004.12				1,400	24,004.12	Navigators Group @17.1158
	TOTAL -		9,000.000		168,964.12	0.00	0.00	0.00	9,000	168,964.12	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
ASHFD	NAVG	Navigators Group Inc	9,000.000	SHRS	18.774	168,964.12	19.975	12-31-01	179,775.00	10,810.88

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ASHFD	ODWA	Odwalla Inc									
PUR	04-05-01	262773	1,700.000	9.750	16,575.00				0	0.00	Odwalla Inc @9.75
PUR	04-19-01	263803	700.000	10.000	7,000.00				0	0.00	Odwalla Inc @10.00
PUR	06-06-01	268853	2,000.000	10.200	20,400.00				0	0.00	Odwalla Inc @10.20
SAL	11-14-01	284821	-4,000.000	15.103		60,409.98	-34,000.00	26,409.98			Odwalla Inc @15.103
SAL	11-14-01	284821	-6,200.000	15.103		93,635.48	-62,560.00	31,075.48			Odwalla Inc @15.103
SAL	11-15-01	284822	-5,500.000	15.099		83,041.18	-46,750.00	36,291.18			Odwalla Inc @15.0989
	TOTAL -		-11,300.000		43,975.00	237,086.64	-143,310.00	93,776.64	0	0.00	
ASHFD	PHLY	Philadelphia Consolidated HLDG									
PUR	06-05-01	268850	3,500.000	32.287	113,004.15				3,500	113,004.15	Philadelphia Consolidated HLDG
PUR	06-06-01	268851	400.000	32.080	12,832.00				400	12,832.00	Philadelphia Consolidated HLDG
PUR	06-07-01	268852	500.000	32.050	16,025.00				500	16,025.00	Philadelphia Consolidated HLDG
PUR	06-08-01	269665	500.000	32.120	16,060.00				500	16,060.00	Philadelphia Consolidation
PUR	09-07-01	278139	1,100.000	30.640	33,704.00				1,100	33,704.00	Philadelphia Consolidating

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ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY    COST BASIS DESCRIPTION
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     TOTAL -                   6,000.000               191,625.15         0.00            0.00          0.00        6,000    191,625.15

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE          COST    PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  PHLY      Philadelphia Consolidated HLDG      6,000.000 SHRS       31.938    191,625.15   37.710 12-31-01     226,260.00       34,634.85

ASHFD  PLT        Plantronics Inc New
SAL  01-02-01  249119         -4,700.000     42.951                 201,579.09     -103,391.13     98,187.96                          Plantronics Inc @42.9506
SAL  01-04-01  249120         -1,000.000     49.147                  49,085.66      -21,998.11     27,087.55                          Plantronics Inc @49.1473
SAL  01-10-01  249122         -2,600.000     46.077                 119,639.16      -57,195.10     62,444.06                          Plantronics Inc @46.0766
SAL  01-17-01  249535           -400.000     52.000                  20,775.30       -8,799.25     11,976.05                          Plantronics Inc @52.00
SAL  03-19-01  257238         -2,800.000     21.868                  61,061.19      -61,594.72       -533.53                          Plantronics Inc @21.8683
SAL  03-20-01  259175         -2,824.000     17.043                  47,958.38      -62,122.67    -14,164.29                          Plantronics Inc New @17.043
                              ------------             ------------ ------------ --------------- -------------   ----------  ------------
     TOTAL -                 -14,324.000                     0.00   500,098.78     -315,100.98    184,997.80            0          0.00

ASHFD  PPCO       Penwest Pharmaceuticals Co
PUR  07-10-01  272597          5,200.000     15.391     80,030.60                                                    5,200     80,030.60 Penwest Pharmaceuticals Co
PUR  09-17-01  278304          5,200.000     15.976     83,076.24                                                    5,200     83,076.24 Penwest Pharmaceuticals Co.
PUR  12-14-01  287632          1,600.000     17.650     28,240.00                                                    1,600     28,240.00 Penwest Pharmaceuticals @17.65
                              ------------             ------------ ------------ --------------- -------------   ----------  ------------
     TOTAL -                  12,000.000               191,346.84         0.00            0.00          0.00       12,000    191,346.84

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE          COST    PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     ASHFD  PPCO       Penwest Pharmaceuticals Co        12,000.000 SHRS       15.946    191,346.84   20.050 12-31-01     240,600.00       49,253.16

ASHFD  PPD        Pre Paid Legal Services Inc
PUR  02-02-01  251883          4,700.000     20.011     94,332.76                                                    4,700     94,332.76 Pre-Paid Legal Services Inc
PUR  02-06-01  251884          3,300.000     19.769     65,434.05                                                    3,300     65,434.05 Pre-Paid Legal Services Inc
PUR  04-16-01  262784          2,700.000     15.399     41,711.22                                                    2,700     41,711.22 Pre-Paid Legal Services Inc
PUR  04-18-01  263801          1,000.000     15.410     15,460.10                                                    1,000     15,460.10 Pre Paid Legal Services Inc
SAL  06-04-01  268860         -5,500.000     17.048                  93,486.97     -233,394.57   -139,907.60                          Pre-Paid Legal Services @17.04
                              ------------             ------------ ------------ --------------- -------------   ----------  ------------
     TOTAL -                   6,200.000               216,938.13    93,486.97     -233,394.57   -139,907.60       11,700    216,938.13
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04-23-02                                                          PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                             BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                         REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION
TYPE TXN DATE TXN NUMBER        QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM     AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
    ASHFD  PPD       Pre Paid Legal Services Inc               14,200.000 SHRS     20.173     286,463.13   21.900  12-31-01     310,980.00      24,516.87

ASHFD  PRX       Pharmaceutical Resources Inc
PUR   03-28-01     259977          10,000.000     11.193    112,425.00                                                7,500    84,318.75  Pharmaceutical Resources Inc
SAL   07-17-01     272978          -2,500.000     38.660                  96,496.77     -28,106.25      68,390.52                           Pharmaceutical Resources @38.6
                               ----------------           ------------ ------------ -------------- -------------- ------------ ------------
    TOTAL -                         7,500.000               112,425.00    96,496.77     -28,106.25      68,390.52        7,500    84,318.75

    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM     AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
    ASHFD  PRX       Pharmaceutical Resources Inc              14,700.000 SHRS     15.147     222,664.92   33.800  12-31-01     253,500.00      30,835.08

ASHFD  PTEC      Pheonix Technologies LTD
    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM     AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
    ASHFD  PTEC      Pheonix Technologies LTD                  16,200.000 SHRS     14.083     228,141.50   11.640  12-31-01     188,568.00     -39,573.50

ASHFD  PWN       Cash America Investments Inc
    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM     AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
    ASHFD  PWN       Cash America Investments Inc              50,000.000 SHRS      5.361     268,057.00    8.500  12-31-01     425,000.00     156,943.00

ASHFD  QVDX      Quovadx Inc
PUR   11-06-01     283460          14,000.000      9.075    127,051.40                                               14,000   127,051.40  Quovadx Inc @9.0751
PUR   11-07-01     283461           4,000.000      9.505     38,018.00                                                4,000    38,018.00  Quovadx Inc @9.5045
                               ----------------           ------------ ------------ -------------- -------------- ------------ ------------
    TOTAL -                        18,000.000               165,069.40         0.00           0.00           0.00       18,000   165,069.40

    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM     AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
    ASHFD  QVDX      Quovadx Inc                               20,000.000 SHRS      8.948     178,969.40    9.150  12-31-01     164,700.00     -14,269.40

ASHFD  RNT       Aaron Rents Inc
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                                                                     Market Street Trust Company
04-23-02                                                        PURCHASE / SALE DETAIL HISTORY REPORT                                                    PAGE 25
FC3.3                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      ASHFD  RNT      Aaron Rents Inc                  15,442.000 SHRS        10.811     166,969.00    16.300 12-31-01     251,704.60       84,735.60

ASHFD  ROOM     Hotel Reservation Network CL A
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      ASHFD  ROOM     Hotel Reservation Network CL A    1,900.000 SHRS        49.882      94,775.86                                      -94,775.86

ASHFD  SCT      Scottish Annuity & Life
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      ASHFD  SCT      Scottish Annuity & Life           8,700.000 SHRS        18.250     158,775.00                                     -158,775.00

ASHFD  SCTCB4   Systems & Computer Tech Corp
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      ASHFD  SCTCB4   Systems & Computer Tech Corp    100,000.000 SHRS         0.749      74,943.00     0.827 12-31-01      82,720.00        7,777.00

ASHFD  SEPRACOR Sepracor Inc CV 7% 12/15/05
PUR   05-03-01    266323        100,000.000     70.800      70,800.00                                               100,000    70,500.00 Sepracor Inc CV 7% 12/15/05
                               --------------            --------------  ------------- --------------- -------------  ---------- ------------
      TOTAL -                   100,000.000                 70,500.00          0.00           0.00          0.00     100,000    70,500.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      ASHFD  SEPRACOR Sepracor Inc CV 7% 12/15/05     200,000.000 PAR         81.375     162,750.00   106.840 12-31-01     106,840.00      -55,910.00

ASHFD  SEPRF5   Sepracor Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      ASHFD  SEPRF5   Sepracor Inc                    100,000.000 SHRS         1.173     117,261.00     1.068 12-31-01     106,840.00      -10,421.00

ASHFD  SFNT     Safenet Inc
PUR   06-04-01    268848          7,000.000     12.575      88,021.50                                                 7,000    88,021.50 Safenet Inc @12.5745
SAL   09-07-01    278144         -3,500.000      8.003                     28,009.21     -118,658.37    -90,649.16                          Safenet Inc @8.003
PUR   10-09-01    280821          2,000.000      9.753      19,565.40                                                 2,000    19,565.40 Safenet Inc @9.7527
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                                                     Market Street Trust Company
                                                PURCHASE / SALE DETAIL HISTORY REPORT
                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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PUR   10-10-01     280832         1,000.000      9.570      9,600.00                                                  1,000     9,600.00 Safenet Inc @9.57
PUR   10-12-01     281616         1,000.000      9.550      9,550.00                                                  1,000     9,550.00 Safenet Inc @9.55
PUR   10-15-01     281625         4,000.000     10.850     43,520.00                                                  4,000    43,520.00 Safenet Inc @10.85
                               ------------             ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                    11,500.000               170,256.90      28,009.21     -118,650.37    -90,641.16     15,000   170,256.90

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE           COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  SFNT      Safenet Inc                    15,000.000 SHRS       11.350     170,256.90     18.940  12-31-01    284,100.00      113,843.10

ASHFD  SIVB      Silicon Valley Bancshares
SAL   06-04-01     268861        -3,400.000     28.190                    95,842.80     -149,716.96    -53,874.16                        Silicon Valley Bancshares
PUR   10-12-01     281619         8,000.000     19.870    158,960.00                                                  8,000   158,960.00 Silicon Valley Bancshares
                               ------------             ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                     4,600.000               158,960.00      95,842.80     -149,716.96    -53,874.16      8,000   158,960.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE           COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  SIVB      Silicon Valley Bancshares      16,000.000 SHRS       28.549     456,782.50     26.730  12-31-01    427,680.00      -29,102.50

ASHFD  SLVN      Sylvan Learning Systems Inc
PUR   01-24-01     249845           700.000     15.563     10,893.75                                                    700    10,893.75 Sylvan Learning Systems Inc
PUR   01-25-01     249846         1,500.000     15.906     23,859.45                                                  1,500    23,859.45 Sylvan Learning Systems Inc
PUR   01-26-01     249847         1,000.000     16.725     16,725.00                                                  1,000    16,725.00 Sylvan Learning Systems Inc
PUR   01-31-01     250368         1,000.000     16.350     16,350.00                                                  1,000    16,350.00 Sylvan Learning Systems @16.35
PUR   02-01-01     251881           700.000     16.000     11,200.00                                                    700    11,200.00 Sylvan Learning Systems
PUR   02-06-01     251882         1,400.000     16.438     23,012.50                                                  1,400    23,012.50 Sylvan Learning Systems
PUR   11-09-01     284815         2,400.000     19.070     45,768.00                                                  2,400    45,768.00 Sylvan Learning Systems @19.07
                               ------------             ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                     8,700.000               147,808.70           0.00            0.00          0.00      8,700   147,808.70

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE           COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ASHFD  SLVN      Sylvan Learning Systems Inc     8,700.000 SHRS       16.990     147,808.70     22.070  12-31-01    192,009.00       44,200.30

ASHFD  STRA      Strayer Education Inc
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ENTITY INVESTMENT DESCRIPTION..                                                                                              REMAINING      REMAINING
TYPE TXN DATE TXN NUMBER                QUANTITY       PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS        QUANTITY     COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM        AVERAGE             COST       PRICE  DATE         MARKET VALUE   UNREALIZED G/L
      ASHFD  STRA       Strayer Education Inc                     1,000.000 SHRS        49.782        49,781.80                                                -49,781.80

ASHFD  TALX       Talx Corp
PUR   09-27-01      279161             7,600.000      18.908     143,930.32                                                          7,600     143,930.32  Talx Corp @18.9082
PUR   10-02-01      280815             4,300.000      17.769      76,533.55                                                          4,300      76,533.55  Talx Corp @17.7685
PUR   10-12-01      281617             2,500.000      18.400      46,000.00                                                          2,500      46,000.00  Talx Corp @18.40
PUR   10-15-01      281627               600.000      19.126      11,475.54                                                            600      11,475.54  Talx Corp @19.1259
                                      ----------             -------------- ------------- --------------- ------------- -------------- --------------
      TOTAL -                         15,000.000                 277,939.41           0.00            0.00          0.00          15,000     277,939.41

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM        AVERAGE             COST       PRICE  DATE         MARKET VALUE   UNREALIZED G/L
      ASHFD  TALX       Talx Corp                                15,000.000 SHRS        18.529       277,939.41      24.980  12-31-01       374,700.00        96,760.59

ASHFD  TAXI       Medallion Financial Corp
PUR   12-10-01      287039            20,000.000       7.780     155,600.00                                                         20,000     155,600.00  Medallion Financial Corp @7.78
                                      ----------             -------------- ------------- --------------- ------------- -------------- --------------
      TOTAL -                         20,000.000                 155,600.00           0.00            0.00          0.00          20,000     155,600.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM        AVERAGE             COST       PRICE  DATE         MARKET VALUE   UNREALIZED G/L
      ASHFD  TAXI       Medallion Financial Corp                 29,300.000 SHRS         9.199       269,943.31       7.900  12-31-01       318,000.00        46,456.69

ASHFD  TXBI       Texas Biotechnology Corp
PUR   12-10-01      287053            30,000.000       6.568     197,031.00                                                         30,000     197,031.00  Texas Biotechnology Corp @6.56
                                      ----------             -------------- ------------- --------------- ------------- -------------- --------------
      TOTAL -                         30,000.000                 197,031.00           0.00            0.00          0.00          30,000     197,031.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM        AVERAGE             COST       PRICE  DATE         MARKET VALUE   UNREALIZED G/L
      ASHFD  TXBI       Texas Biotechnology Corp                 30,000.000 SHRS         6.568       197,031.00       6.500  12-31-01       195,000.00        -2,031.00

ASHFD  VCI        Valassis Communication
PUR   04-05-01      262774             1,300.000      30.150      39,273.00                                                          1,300      39,273.00  Valassis Communications Inc
PUR   04-10-01      262781             1,000.000      31.750      31,810.00                                                          1,000      31,810.00  Valassis Communications Inc
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                                                                              Market Street Trust Company
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PC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION- .                                                                                REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
____  ________ __________      _____________ ___________ ____________ _____________ _______________ _____________  ___________ ____________ ___________
      TOTAL -                      2,300.000                71,083.00          0.00            0.00          0.00        2,300     71,083.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE            COST       PRICE  DATE       MARKET VALUE   UNREALIZED G/L
      ASHFD  VCI       Valassis Communication             3,500.000 SHRS      30.135      105,471.20      35.620  12-31-01      124,670.00        19,198.80

ASHFD  VICL       Vical Inc
PUR   04-10-01       262782        1,000.000      12.380    12,380.00                                                    1,000     12,380.00  Vical Inc @12.38
PUR   05-09-01       266324        1,000.000      14.950    14,950.00                                                    1,000     14,950.00  Vical Inc @14.95
PUR   05-14-01       266325        1,000.000      14.210    14,210.00                                                    1,000     14,210.00  Vical Inc @14.21
PUR   05-22-01       267064        1,000.000      15.500    15,500.00                                                    1,000     15,500.00  Vical Inc @15.50
PUR   05-29-01       267802        1,000.000      14.580    14,580.00                                                    1,000     14,580.00  Vical Inc @14.58
PUR   06-04-01       268849        1,000.000      14.370    14,370.00                                                    1,000     14,370.00  Vical Inc @14.37
PUR   06-15-01       269666        1,000.000      13.100    13,100.00                                                    1,000     13,100.00  Vical Inc @13.10
PUR   06-18-01       269667        1,000.000      12.800    12,800.00                                                    1,000     12,800.00  Vical Inc @12.80
PUR   06-25-01       270617        1,000.000      11.750    11,750.00                                                    1,000     11,750.00  Vical Inc @11.75
PUR   10-15-01       281626        3,000.000      12.850    38,641.20                                                    3,000     38,641.20  Vical Inc @12.8504
PUR   12-10-01       287054        3,000.000      12.890    38,670.00                                                    3,000     38,670.00  Vical Inc @12.89
                                   _____________            ____________ _____________ _______________ _____________  ___________ ____________
      TOTAL -                     15,000.000               200,951.20          0.00            0.00          0.00       15,000    200,961.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE            COST       PRICE  DATE       MARKET VALUE   UNREALIZED G/L
      ASHFD  VICL      Vical Inc                         17,000.000 SHRS      12.810      217,771.20      12.240  12-31-01      183,600.00       -34,171.20

ASHFD  VIRL       Virage Logic Corp
PUR   08-07-01       274594        6,300.000      12.092    76,177.71                                                    6,300     76,177.71  Virage Logic Corp @12.0917
PUR   08-16-01       275843          600.000      11.180     6,708.00                                                      600      6,708.00  Virage Logic Corp @11.18
PUR   08-17-01       275844        1,100.000      11.230    12,353.00                                                    1,100     12,353.00  Virage Logic Corp @11.23
PUR   08-22-01       276223        2,400.000      12.030    28,871.52                                                    2,400     28,871.52  Virage Logic Corp @12.0298
PUR   10-12-01       281618        4,600.000       9.906    45,569.44                                                    4,600     45,569.44  Virage Logic Corp @9.9064
                                   _____________            ____________ _____________ _______________ _____________  ___________ ____________
      TOTAL -                     15,000.000               169,679.67          0.00            0.00          0.00       15,000    169,679.67

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE            COST       PRICE  DATE       MARKET VALUE   UNREALIZED G/L
      ASHFD  VIRL      Virage Logic Corp                 15,000.000 SHRS      11.312      169,679.67      19.230  12-31-01      288,450.00       118,770.33
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                                                                   Market Street Trust Company
04-23-02                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 29
FC3.3                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION
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ASHFD  VNWK      Visual Networks Inc
PUR   12-12-01     287630         7,700.000      3.686     28,613.97                                                 7,700    28,613.97 Visual Networks @3.6861
                               ------------              ------------- ------------ ------------- -------------  ----------- ------------
      TOTAL -                     7,700.000                28,613.97         0.00          0.00          0.00        7,700    28,613.97

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST     PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      ASHFD  VNWK      Visual Networks Inc                52,700.000 SHRS       3.615     190,510.97     4.620  12-31-01       36,574.00      -154,936.97

ASHFD  VRTA      Virata Corp
SAL   04-16-01     262771          -700.000     12.026                    8,417.91    -14,424.20     -6,006.29                          Virata Corp @12.026
SAL   04-17-01     263805          -800.000     12.101                    9,680.63    -16,204.80     -6,524.17                          Virata Corp @12.1012
SAL   04-18-01     263807          -700.000     13.439                    9,406.70    -14,179.20     -4,772.50                          Virata Corp @13.4386
CNVFR 12-19-01     287658        -6,600.000     13.210                  107,314.54   -107,314.54          0.00                          Virata exchange to Globespan
                               ------------              ------------- ------------ ------------- -------------  ----------- ------------
      TOTAL -                    -7,800.000                     0.00   134,819.78   -152,122.74    -17,302.96            0         0.00

ASHFD  VTSS      Vitesse Semiconductor
SAL   04-16-01     262772        -1,600.000     24.334                   38,932.46    -81,213.82    -42,281.36                          Vitesse Semiconductor Corp
SAL   09-07-01     278143        -2,862.000     13.012                   37,237.95   -145,271.22   -108,033.27                          Vitesse Semiconductor Corp
                               ------------              ------------- ------------ ------------- -------------  ----------- ------------
      TOTAL -                    -4,462.000                     0.00    76,170.41   -226,485.04   -150,314.63            0         0.00

ASHFD  VVTV      Valuevision International Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST     PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      ASHFD  VVTV      Valuevision International Inc      14,038.000 SHRS      14.868     208,713.00    19.590  12-31-01      275,004.42        66,291.42

ASHFD  YSTM      Youthstream Media Networks Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST     PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      ASHFD  YSTM      Youthstream Media Networks Inc     64,100.000 SHRS       1.022      65,602.18                                             -65,502.18

                                                         ------------- ------------ ------------- -------------  ----------- ------------
  REPORT TOTAL -                                         28,976,712.65 24,183,621.68 -33,792,336.69 -9,608,715.01   12,063,797 16,341,379.88
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                                                              Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                              PAGE 1
FC3.3                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV

ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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F-L   ABI       Applera Corp-Applied Biosystem
PUR   11-27-01    285268         6,200.000     34.620   215,014.76                                                 6,200   220,222.31 Applera Corp-Applied Biosystem
PUR   11-28-01    285721           700.000     34.522    24,207.82                                                   700    24,863.81 Applera Corp-Applied Biosystem
PUR   12-28-01    288809         1,100.000     40.256    44,347.16                                                 1,100    39,071.70 Applera Corp-Applied Biosystem
                              ------------             ----------- ------------- --------------- -------------  --------  -----------
      TOTAL -                    8,000.000              283,569.74          0.00            0.00          0.00     8,000   284,157.82

F-L   ABK       AMBAC Financial Group Inc
SAL   05-23-01    267153        -1,500.000     57.294                  85,847.38      -50,701.58     35,145.80                        AMBAC Financial Group Inc
SAL   05-24-01    267154        -2,000.000     56.626                 113,128.22      -67,602.10     45,526.12                        AMBAC Financial Group Inc
SAL   05-25-01    267155        -1,000.000     56.906                  56,843.80      -33,801.05     23,042.75                        AMBAC Financial Group Inc
SAL   05-29-01    267499          -700.000     56.275                  39,349.04      -23,660.74     15,688.30                        AMBAC Financial Corp @56.2748
SAL   05-30-01    267500          -600.000     56.134                  33,643.33      -20,280.63     13,362.70                        AMBAC Financial Corp @56.1341
SAL   06-01-01    271149          -900.000     56.478                  50,774.77      -30,420.95     20,353.82                        AMBAC Financial Group Inc
SAL   06-06-01    269733        -1,100.000     55.741                  61,246.83      -37,181.15     24,065.68                        Ambak Financial @55.7408
                              ------------             ----------- ------------- --------------- -------------  --------  -----------
      TOTAL -                   -7,800.000                    0.00    440,833.37     -263,648.20    177,185.17         0         0.00

F-L   ACS       Affiliated Computer Services
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM     AVERAGE          COST      PRICE   DATE    MARKET VALUE  UNREALIZED G/L
      F-L    ACS      Affiliated Computer Services    6,100.000 SHRS    47.012     286,773.51                                       -286,773.51

F-L   ADLA      Adelphia Communications Corp-A
PUR   01-16-01    249176         1,100.000     43.928    48,320.91                                                     0         0.00 Adelphia Comm. Corp Cl A
SAL   02-22-01    252343        -3,400.000     42.611                 144,872.23     -122,378.50     22,493.73                        Adelphia Communications Corp
                              ------------             ----------- ------------- --------------- -------------  --------  -----------
      TOTAL -                   -2,300.000               48,320.91    144,872.23     -122,378.50     22,493.73         0         0.00

F-L   ADPT      Adaptec Inc
PUR   12-28-01    288805        10,800.000     15.123   163,324.08                                                10,800   162,320.80 Adaptec Inc @15.1226
PUR   12-31-01    288928        14,100.000     14.910   210,225.36                                                14,100   211,918.82 Adaptec Inc @14.9096
                              ------------             ----------- ------------- --------------- -------------  --------  -----------
      TOTAL -                   24,900.000              373,549.44          0.00            0.00          0.00    24,900   374,239.62
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                                                              Market Street Trust Company                                          PAGE 2
04-23-02                                                   PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY  COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      F-L    ADPT      Adaptec Inc                        32,900.000 SHRS      14.128     464,801.50    14.500  12-31-01    361,050.00     -103,751.50

F-L   AFCE       AFC Enterprises Inc
PUR   12-05-01     287199        3,800.000     23.000    87,400.00                                                   3,800   87,400.00  AFC Enterprises Inc @23.00
                              ------------              ----------  ------------ --------------- -------------  ---------  ----------
      TOTAL -                    3,800.000               87,400.00          0.00            0.00          0.00      3,800   87,400.00

F-L   AG         AGCO Corp
PUR   08-24-01     276235        7,200.000     12.000    86,760.00                                                   7,200   86,760.00  AGCO Corp @12.00
PUR   10-16-01     281665        2,300.000     10.643    24,547.67                                                   2,300   24,547.67  AGCO Corp @10.6429
PUR   11-20-01     285262        5,000.000     13.000    65,250.00                                                   5,000   65,250.00  AGCO Corp @13.00
                              ------------              ----------  ------------ --------------- -------------  ---------  ----------
      TOTAL -                   14,500.000              176,557.67          0.00            0.00          0.00     14,500  176,557.67

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      F-L    AG        AGCO Corp                          54,000.000 SHRS      12.021     649,134.26    15.780  12-31-01    815,826.00      166,691.74

F-L   APOL       Apollo Group Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      F-L    APOL      Apollo Group Inc                    5,500.000 SHRS      46.284     254,563.65                                          -254,563.65

F-L   ARBA       Ariba Inc
PUR   03-26-01     259215       23,100.000     10.666   246,375.36                                                       0        0.00  Ariba Inc @10.6656
SAL   04-04-01     263036      -10,600.000      4.701                  49,828.93     -113,055.36    -63,226.43                          Ariba Inc @4.701
SAL   04-04-01     263037      -12,500.000      4.856                  60,702.97     -133,320.00    -72,617.03                          Ariba Inc @4.8564
                              ------------              ----------  ------------ --------------- -------------  ---------  ----------
      TOTAL -                        0.000              246,375.36    110,531.90     -246,375.36   -135,843.46          0        0.00

F-L   ARTC       Arthrocare Corp
SAL   09-27-01     279155       -3,000.000     19.345                  58,033.97      -50,640.00      7,393.97                          Arthrocare Corp @19.3453
                              ------------              ----------  ------------ --------------- -------------  ---------  ----------
      TOTAL -                   -3,000.000                    0.00     58,033.97      -50,640.00      7,393.97          0        0.00
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                                                                  Market Street Trust Company
04-23-02                                                       PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                          BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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F-L    AVCT     Avocent Corp
PUR  02-12-01    251909       12,900.000     31.080    400,930.71                                                   6,500  224,266.35 Avocent Corp
SAL  11-02-01    284570       -2,700.000   [illegible].592                 50,197.00      -94,494.75    -44,297.75                        Avicent Corp
SAL  11-02-01    284570       -7,400.000     18.592                137,576.95     -258,985.60   -121,408.65                        Avicent Corp
                             -------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                   2,800.000               400,930.71  187,773.95     -353,480.35   -165,706.40     6,500  224,266.35

F-L    AVX      AVX Corp
PUR  12-28-01    288808        2,700.000     23.641     63,991.89                                                   2,700   63,991.89 AVX Corp @23.6407
                             -------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                   2,700.000                63,991.89        0.00            0.00          0.00     2,700   63,991.89

     CURRENT HOLDINGS :
     ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
     F-L    AVX       AVX Corp                          18,700.000 SHRS    23.747     444,074.64    23.590 12-31-01     63,693.00     -380,381.64

F-L    BBBY     Bed Bath & Beyond Inc
SAL  09-27-01    279156      -10,200.000     24.925                254,223.46     -240,700.07     13,523.39                        Bed Bath & Beyond @24.9247
                             -------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                 -10,200.000                     0.00  254,223.46     -240,700.07     13,523.39         0        0.00

F-L    BBY      Best Buy Inc
PUR  02-28-01    255262        1,800.000     40.850     73,638.54                                                   1,800   97,133.56 Best Buy Inc @40.85
PUR  02-28-01    255263        5,400.000     40.850    220,915.62                                                   5,400  291,400.69 Best Buy Inc @40.85
PUR  11-02-01    284600        2,900.000     58.617    170,163.59                                                   2,900  156,492.96 Best Buy Inc
PUR  11-02-01    284621        3,500.000     58.145    203,631.05                                                   3,500  188,870.81 Best Buy Inc
SAL  11-13-01    284857       -2,400.000     63.579                152,441.47     -129,511.41     22,930.06                        Best Buy Inc @63.5794
SAL  11-15-01    284863       -1,600.000     67.000                107,100.42      -86,340.94     20,759.48                        Best Buy Inc @67.00
SAL  12-14-01    287687       -1,600.000     66.874                106,898.83      -86,340.94     20,557.89                        Best Buy Inc @66.874
SAL  12-17-01    288174       -6,200.000     68.103                421,851.90     -334,571.16     87,280.74                        Best Buy Inc @68.1029
                             -------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                   1,800.000               668,348.80  788,292.62     -636,764.45    151,528.17    13,600  733,898.02

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
     F-L    BBY       Best Buy Inc                      28,300.000 SHRS    55.114   1,559,723.26    74.480 12-31-01  1,958,824.00      399,100.74
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	BC	Brunswick Corp									
PUR	08-30-01	276434	4,500.000	21.366	96,372.45				0	0.00	Brunswick Corp @21.3661
PUR	08-31-01	276475	2,400.000	21.675	52,142.16				0	0.00	Brunswick Corp @21.675
PUR	09-04-01	278154	1,700.000	22.301	37,996.02				0	0.00	Brunswick Corp @22.3006
PUR	09-05-01	278155	2,100.000	22.158	46,636.80				0	0.00	Brunswick Corp @22.158
SAL	11-13-01	284858	-10,700.000	18.001		192,066.06	-233,147.43	-41,081.37			Brunswick Corp @18.0007
	TOTAL -		0.000		233,147.43	192,066.06	-233,147.43	-41,081.37	0	0.00	
F-L	BCC	Boise Cascade Corp									
SAL	06-28-01	271060	-2,900.000	35.000		101,322.61	-77,304.43	24,018.18			Boise Cascade Corp
SAL	07-02-01	272657	-2,500.000	35.287		88,064.30	-66,641.75	21,422.55			Boise Cascade Corp
SAL	07-03-01	272660	-900.000	35.000		31,444.95	-23,991.03	7,453.92			Boise Cascade Corp
SAL	07-05-01	272662	-500.000	35.066		17,502.16	-13,328.35	4,173.81			Boise Cascade Corp
SAL	10-11-01	281670	-6,350.000	29.500		186,937.75	-169,270.05	17,667.70			Boise Cascade Corp @29.50
SAL	10-31-01	282654	-400.000	28.573		11,414.81	-10,662.68	752.13			Boise Cascade Corp @28.573
SAL	10-31-01	282655	-1,600.000	28.517		45,530.47	-42,650.72	2,879.75			Boise Cascade Corp @28.517
SAL	11-02-01	284571	-11,900.000	29.187		346,599.72	-317,214.73	29,384.99			Boise Cascade Corp
	TOTAL -		-27,050.000		0.00	828,816.77	-721,063.74	107,753.03	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	BCC	Boise Cascade Corp	15,050.000	SHRS	31.867	479,591.09	34.010	12-31-01	260,176.50	-219,414.59

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	BGEN	Biogen									
SAL	05-11-01	266345	-500.000	59.986		29,992.00	-26,625.00	3,367.00			Biogen Inc @59.986
SAL	05-23-01	267156	-1,900.000	60.145		114,270.93	-101,175.00	13,095.93			Biogen Inc
	TOTAL -		-2,400.000		0.00	144,262.93	-127,800.00	16,462.93	0	0.00	
F-L	BHI	Baker Hughes Inc									
SAL	04-18-01	263876	-400.000	35.184		14,048.97	-14,074.00	-25.03			Baker Hughes Inc @35.1836
SAL	05-07-01	266342	-600.000	35.378		21,190.09	-21,111.00	79.09			Baker Hughes Inc @35.378
SAL	05-08-01	266344	-500.000	35.663		17,801.05	-17,592.50	208.55			Baker Hughes Inc @35.6633
SAL	06-08-01	269735	-6,600.000	36.938		243,385.35	-232,221.00	11,164.35			Baker Hughes @36.9378

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                                                                     Market Street Trust Company
04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT                                                       PAGE 5
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY  COST BASIS DESCRIPTION
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      TOTAL -                   -8,100.000                     0.00    296,425.46    -284,998.50    11,426.96          0        0.00

F-L    BKS      Barnes & Noble Inc
PUR   11-02-01   284618          1,000.000    36.400     36,460.00                                                     0        0.00 Barnes & Noble Inc
PUR   11-02-01   284620          1,400.000    36.430     51,002.14                                                     0        0.00 Barnes & Nobles Inc
SAL   11-08-01   284849        -10,850.000    24.908                  269,588.54    -225,876.58    43,711.96                          Barnes & Nobles Inc @24.9077
SAL   11-09-01   284850        -14,050.000    23.873                  334,562.87    -292,494.55    42,068.32                          Barnes & Nobles Inc @23.8731
SAL   11-12-01   284854         -4,400.000    24.677                  108,312.50     -91,599.72    16,712.78                          Barnes & Noble @24.6773
SAL   11-12-01   284854         -2,400.000    24.677                   59,079.54     -49,963.48     9,116.06                          Barnes & Noble @24.6773
                               -----------               ----------- ------------- --------------- ------------  ---------  ----------
      TOTAL -                  -29,300.000                87,462.14    771,543.45    -659,934.33   111,609.12          0        0.00

F-L    BNI      Burlington Northern Santa Fe
PUR   11-02-01   284601            800.000    27.500     22,024.00                                                   800   22,024.00 Burlington Northern Santa Fe
                               -----------               ----------- ------------- --------------- ------------  ---------  ----------
      TOTAL -                      800.000                22,024.00          0.00           0.00         0.00        800   22,024.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE            COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      F-L    BNI     Burlington Northern Santa Fe     5,100.000 SHRS      28.290      144,278.59     28.530 12-31-01      145,503.00        1,224.41

F-L    BRCD     Brocade Communications Systems
PUR   09-24-01   278940          5,200.000    20.041    104,211.12                                                 2,800   56,113.68 Brocade Communications Systems
SAL   10-11-01   281671         -2,400.000    21.828                   52,384.25     -48,097.44     4,286.81                          Brocade Communications Systems
PUR   11-01-01   284588            150.000    25.058      3,758.73                                                   150    3,758.73 Brocade Communications Systems
PUR   11-09-01   284879          1,050.000    30.643     32,174.63                                                 1,050   32,174.63 Brocade Communications Systems
PUR   11-27-01   285266          7,200.000    31.821    229,110.48                                                 7,200  229,110.48 Brocade Communications Systems
PUR   12-21-01   288660          1,650.000    33.069     54,563.03                                                 1,650   54,563.03 Brocade Communications Systems
                               -----------               ----------- ------------- --------------- ------------  ---------  ----------
      TOTAL -                   12,850.000               423,817.99     52,384.25     -48,097.44     4,286.81     12,850  375,720.55

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE            COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      F-L    BRCD    Brocade Communications Systems  15,300.000 SHRS      28.460      435,438.05     33.120 12-31-01      425,592.00       -9,846.05

F-L    BRL      Barr Laboratories Inc
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ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM       AVERAGE          COST       PRICE  DATE    MARKET VALUE  UNREALIZED G/L
      F-L    BRL      Barr Laboratories Inc         4,000.000 SHRS       64.619     258,477.20                                      -258,477.20

F-L   BRRT     Barr Laboratories Inc
SAL   02-13-01    251924         -500.000     69.750                  34,843.83    -29,412.55      5,431.28                          Barr Laboratories Inc
SAL   02-15-01    252336       -1,000.000     67.402                  67,339.25    -58,825.10      8,514.15                          Barr Laboratories Inc
SAL   02-16-01    252337         -700.000     64.421                  45,051.05    -41,177.57      3,873.48                          Barr Laboratories Inc
SAL   03-16-01    257253         -300.000     54.000                  16,181.46    -17,647.53     -1,466.07                          Barr Laboratories @54.00
SAL   03-26-01    259221       -3,700.000     51.904                 191,817.87   -217,652.87    -25,835.00                          Barr Laboratories @51.9044
                             -------------            ------------ ------------- ------------- ------------ ---------- ------------
      TOTAL -                  -6,200.000                     0.00   355,233.46   -364,715.62     -9,482.16           0         0.00

F-L   BTU      Peabody Energy Corp
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM       AVERAGE          COST       PRICE  DATE    MARKET VALUE  UNREALIZED G/L
      F-L    BTU      Peabody Energy Corp          11,200.000 SHRS       28.600     320,320.00                                      -320,320.00

F-L   CB       Chubb Corp
SAL   02-02-01    251911      -10,000.000     73.529                 734,668.49   -798,100.00    -63,431.51                          Chubb Corp
                             -------------            ------------ ------------- ------------- ------------ ---------- ------------
      TOTAL -                 -10,000.000                     0.00   734,668.49   -798,100.00    -63,431.51           0         0.00

F-L   CBI      Chicago Bridge & Iron Co
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM       AVERAGE          COST       PRICE  DATE    MARKET VALUE  UNREALIZED G/L
      F-L    CBI      Chicago Bridge & Iron Co      1,150.000 SHRS       28.060      32,269.00                                       -32,269.00

F-L   CBM      Cambrex Corp
PUR   07-02-01    272645        4,800.000     51.420   247,104.00                                                 4,800   241,578.20  Cambrex Corp @51.42
PUR   07-05-01    272646        1,400.000     51.763    72,552.06                                                 1,400    70,460.31  Cambrex Corp @51.7629
PUR   07-06-01    272647          700.000     51.864    36,346.45                                                   700    35,230.16  Cambrex Corp @51.8635
PUR   11-02-01    284603          600.000     38.692    23,233.08                                                   600    30,197.28  Cambrex Corp
                             -------------            ------------ ------------- ------------- ------------ ---------- ------------
      TOTAL -                   7,500.000               379,235.59         0.00          0.00          0.00       7,500   377,465.95

F-L   CBSS     Compass Bancshares Inc
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04-23-02                                                Market Street Trust Company                                                  PAGE 7
FC3.3                                             PURCHASE / SALE DETAIL HISTORY REPORT
                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION

PUR   09-28-01     279247        7,300.000    25.913     189,168.55                                              7,300   189,168.55 Compass Bancshares Inc
PUR   10-08-01     281053        3,200.000    23.470      75,104.32                                              3,200    75,104.32 Compass Bancshares Inc
PUR   10-09-01     281057        2,750.000    23.724      65,239.63                                              2,750    65,239.63 Compass Bancshares Inc

      TOTAL -                   13,250.000               329,512.50          0.00          0.00          0.00   13,250   329,512.50

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE   UNREALIZED G/L
      F-L    CBSS      Compass Bancshares Inc            13,950.000 SHRS     25.031    349,179.49     28.300  12-31-01   374,975.00       25,795.51

F-L    CDN       Cadence Design Systems Inc
SAL   04-11-01     263043      -12,000.000    19.357                  231,676.25   -286,388.40    -54,712.15                        Cadence Design Systems Inc

      TOTAL -                  -12,000.000                     0.00   231,676.25   -286,388.40    -54,712.15         0         0.00

F-L    CEFT      Concord EFS Inc
PUR   05-25-01     267145       12,200.000    50.692     618,438.74                                             24,400   646,319.05 Concord EFS Inc
PUR   05-29-01     267495        3,800.000    50.999     193,795.82                                              7,600   201,312.49 Concord EFS Inc @50.9989
PUR   07-31-01     274083        4,250.000    57.584     244,734.12                                              8,500   225,152.13 Concord EFS
SPLDV 10-01-01     281038       20,250.000                     0.00                                                  0         0.00 Concord EFS 2 for 1 split
PUR   11-02-01     284591        2,300.000    27.363      62,934.67                                              2,300    60,923.52 Concord EFS Inc

      TOTAL -                   42,800.000             1,119,903.35          0.00          0.00          0.00   42,800 1,133,707.19

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE   UNREALIZED G/L
      F-L    CEFT      Concord EFS Inc                   37,700.000 SHRS     26.488    998,615.92     32.780  12-31-01 1,402,984.00      404,368.08

F-L    CEG       Constellation Energy Group
SAL   02-12-01     251923       -8,300.000    43.000                  356,390.10   -364,372.06     -7,981.96                        Constellation Energy Group
PUR   02-14-01     252320        2,400.000    42.540     102,240.72                                                  0         0.00 Constellation Energy Group
PUR   02-15-01     252321        6,000.000    42.722     256,692.60                                                  0         0.00 Constellation Energy Group
SAL   06-05-01     268827       -7,000.000    45.241                  316,256.44   -304,348.89     11,907.55                        Constellation Energy Group Inc
SAL   06-14-01     269738       -7,400.000    41.080                  303,539.34   -321,740.26    -18,200.92                        Constellation Energy @41.0802
SAL   06-15-01     269739       -7,000.000    41.912                  292,952.12   -304,348.90    -11,396.78                        Constellation Energy @41.9117
SAL   06-18-01     269740       -1,900.000    42.316                   80,282.77    -82,608.98     -2,326.21                        Constellation Energy @42.3155
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		-23,200.000		358,933.32	1,349,420.77	-1,377,419.09	-27,998.32	0	0.00	
F-L	CEPH	Cephalon Inc									
PUR	11-26-01	285263	300.000	69.130	20,739.00				0	0.00	Cephalon Inc @69.13
SAL	12-07-01	287197	-200.000	67.403		13,480.09	-13,826.00	-345.91			Cephalon Inc @67.4027
SAL	12-11-01	287684	-100.000	66.636		6,663.34	-6,913.00	-249.66			Cephalon Inc @66.6357
	TOTAL -		0.000		20,739.00	20,143.43	-20,739.00	-595.57	0	0.00	
F-L	CF	Charter One Financial Inc									

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	CF	Charter One Financial Inc	21,000.000	SHRS	32.614	684,902.28	27.150	12-31-01	0.00	-684,902.28

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	CHIR	Chiron Corp									
PUR	04-20-01	263893	2,400.000	45.402	108,965.76				0	0.00	Chiron Corp @45.4024
PUR	05-11-01	266349	800.000	47.092	37,673.52				0	0.00	Chiron Corp @47.0919
PUR	05-23-01	267141	1,700.000	52.486	89,226.37				0	0.00	Chiron Corp
PUR	11-02-01	284605	400.000	54.139	21,669.48				0	0.00	Chiron Corp
SAL	11-21-01	285276	-5,300.000	45.550		241,409.07	-257,535.13	-16,126.06			Chiron Corp @45.5504
	TOTAL -		0.000		257,535.13	241,409.07	-257,535.13	-16,126.06	0	0.00	
F-L	CHTR	Charter Communication Inc CL A									
PUR	02-02-01	251904	6,100.000	22.125	134,962.50				0	0.00	Charter Communications Inc
PUR	11-02-01	284604	1,700.000	12.550	21,335.00				0	0.00	Charter Communications Inc CLA
SAL	11-20-01	285272	-3,500.000	14.066		49,230.40	-69,090.83	-19,860.43			Charter Communications Inc
SAL	11-21-01	285273	-400.000	14.000		5,599.81	-7,896.09	-2,296.28			Charter Communications Inc
SAL	11-26-01	285274	-6,000.000	14.023		84,133.39	-118,441.42	-34,308.03			Charter Communications Inc
SAL	11-26-01	285274	-1,500.000	14.023		21,033.35	-29,610.36	-8,577.01			Charter Communications Inc
SAL	11-27-01	285275	-6,300.000	14.310		90,148.73	-124,363.49	-34,214.76			Charter Communications Inc
	TOTAL -		-9,900.000		156,297.50	250,145.68	-349,602.19	-99,236.51	0	0.00	
F-L	CMA	Comerica Inc									

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	F-L CMA	Comerica Inc			7,400.000 SHRS	63.606	470,681.60				-470,681.60
F-L	CMS	CMS Energy Corp									
SAL	07-02-01	272656	-2,200.000	28.000		61,465.94	-64,114.38	-2,648.44			CMS Energy Corp
SAL	07-24-01	273697	-3,100.000	24.501		75,764.87	-90,342.99	-14,578.12			CMS Energy Corp @24.5011
SAL	07-25-01	273698	-18,600.000	25.222		468,003.14	-542,057.96	-74,054.82			CMS Energy Corp @25.2223
SAL	09-04-01	278160	-900.000	23.350		20,960.29	-26,228.61	-5,268.32			CMS Energy Corp @23.35
SAL	09-27-01	279157	-2,400.000	20.055		48,009.67	-69,942.96	-21,933.29			CMS Energy Corp @20.0547
SAL	09-28-01	279254	-3,000.000	20.073		60,069.09	-87,428.70	-27,359.61			CMS Energy Corp
SAL	10-19-01	282195	-1,400.000	21.284		29,726.32	-40,800.07	-11,073.75			CMS Energy Corp @21.2838
	TOTAL -		-31,600.000		0.00	763,999.32	-920,915.67	-156,916.35	0	0.00	
F-L	CMTO	Com21 Inc									
SAL	02-15-01	252338	-1,800.000	4.119		7,413.59	-20,712.06	-13,298.47			Com21 Inc
SAL	02-16-01	252339	-1,800.000	3.828		6,890.35	-20,712.06	-13,821.71			Com21 Inc
SAL	02-22-01	252340	-3,600.000	3.067		11,040.47	-41,424.12	-30,383.65			Com21 Inc
SAL	02-26-01	252366	-800.000	3.412		2,729.18	-9,205.36	-6,476.18			Com21 Inc
SAL	02-27-01	252389	-2,400.000	3.150		7,559.74	-27,616.08	-20,056.34			Com21 Inc
SAL	02-28-01	255265	-700.000	3.000		2,099.92	-8,054.69	-5,954.77			Com21 Inc @3.00
SAL	03-01-01	257059	-1,400.000	2.831		3,963.82	-16,109.38	-12,145.56			Com21 Inc @2.8314
SAL	03-02-01	257060	-700.000	2.767		1,936.55	-8,054.69	-6,118.14			Com21 Inc @2.7666
SAL	03-05-01	257061	-200.000	2.656		531.24	-2,301.34	-1,770.10			Com21 Inc @2.6563
SAL	03-05-01	257062	-500.000	2.625		1,312.45	-5,753.35	-4,440.90			Com21 Inc @2.625
SAL	03-06-01	257063	-2,800.000	2.777		7,775.06	-32,218.76	-24,443.70			Com21 Inc @2.7769
SAL	03-07-01	257064	-2,900.000	2.945		8,539.92	-33,369.43	-24,829.51			Com21 Inc @2.9449
	TOTAL -		-19,600.000		0.00	61,792.29	-225,531.32	-163,739.03	0	0.00	
F-L	CNTX	Conexant Systems Inc									
PUR	11-01-01	284581	15,600.000	11.022	171,943.20				15,600	178,835.36	Conexant Systems Inc
PUR	11-02-01	284582	4,900.000	11.262	55,185.27				4,900	56,172.65	Conexant Systems Inc
PUR	11-05-01	284583	8,300.000	12.169	101,006.02				8,300	95,149.58	Conexant Systems Inc
	TOTAL -		28,800.000		328,134.49	0.00	0.00	0.00	28,800	330,157.59	

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                                                                     Market Street Trust Company
04-23-02                                                          PURCHASE / SALE DETAIL HISTORY REPORT                                                            PAGE 10
FC3.3                                                             BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                     REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE            COST       PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      F-L     CNTX       Conexant Systems Inc            26,500.000 SHRS       11.464      303,790.84      14.360  12-31-01     413,568.00        109,777.16

F-L    CPS       Choicepoint Inc
PUR   11-12-01     284880               800.000     44.867     35,941.68                                                   800    36,679.06  Checkpoint Inc 044.8671
PUR   11-13-01     284881             1,700.000     45.945     78,207.99                                                 1,700    77,943.01  Checkpoint Inc 045.9447
PUR   11-14-01     284882               700.000     46.118     32,324.46                                                   700    32,094.18  Checkpoint Inc 046.1178
                                -------------             ------------ ------------- --------------- -------------  ----------  -----------
      TOTAL -                         3,200.000               146,474.13          0.00            0.00          0.00       3,200   146,716.25

F-L    CSX       CSX Corp
PUR   02-22-01     252326             5,000.000     32.362    162,108.00                                                 5,000   162,108.00  CSX Corp
PUR   02-23-01     252381            10,900.000     32.745    357,570.14                                                10,900   357,570.14  CSX Corp
PUR   11-02-01     284602               700.000     34.295     24,027.57                                                   700    24,027.57  CSX Corp
                                -------------             ------------ ------------- --------------- -------------  ----------  -----------
      TOTAL -                        16,600.000               543,705.71          0.00            0.00          0.00      16,600   543,705.71

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE            COST       PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      F-L     CSX        CSX Corp                        17,600.000 SHRS       33.107      582,677.71      35.050  12-31-01     581,830.00           -847.71

F-L    CYH       Community Health Systems Inc
PUR   12-07-01     287200               450.000     25.250     11,389.50                                                   450    11,389.50  Community Health Systems 025.2
PUR   12-11-01     287675               400.000     24.266      9,730.36                                                   400     9,730.36  Community Health Systems Inc
                                -------------             ------------ ------------- --------------- -------------  ----------  -----------
      TOTAL -                           850.000                21,119.86          0.00            0.00          0.00         850    21,119.86

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE            COST       PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      F-L     CYH        Community Health Systems Inc       950.000 SHRS       24.823       23,581.86      25.300  12-31-01      21,675.00         -1,906.86

F-L    CYN       City National Corp
PUR   09-28-01     279246             4,200.000     42.750    179,802.00                                                 4,200   179,802.00  City National Corp
PUR   11-02-01     284606               500.000     41.575     20,802.25                                                   500    20,802.25  City National Corp
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04-23-02                                                                          Market Street Trust Company                                                         PAGE 11
PC3.3                                                                    PURCHASE / SALE DETAIL HISTORY REPORT
                                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                        4,700.000              200,604.25          0.00           0.00           0.00       4,700   200,604.25

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      F-L    CYN       City National Corp                 7,400.000 SHRS      44.720     330,929.78     46.850  12-31-01     220,195.00      -110,734.78

F-L   DCEL      Dobson Communications Corp
PUR   02-14-01     252315        5,900.000    19.464   116,839.37                                                       0         0.00  Dobson Communications Corp
PUR   02-15-01     252316        4,100.000    19.500    79,950.00                                                       0         0.00  Dobson Communications Corp
PUR   02-16-01     252317          700.000    18.500    12,950.00                                                       0         0.00  Dobson Communications Corp
PUR   02-20-01     252318        2,600.000    18.617    48,404.72                                                       0         0.00  Dobson Communications Corp
PUR   02-21-01     252319        1,100.000    18.792    20,670.87                                                       0         0.00  Dobson Communications Corp
PUR   11-02-01     284615        2,200.000     9.800    21,560.00                                                       0         0.00  Dobson Communications Corp CIA
SAL   11-09-01     284851       -3,600.000     9.475                  34,107.06     -64,707.82     -30,600.76                             Dobson Communications Corp
SAL   11-12-01     284855       -5,400.000     9.615                  51,917.10     -97,061.74     -45,144.64                             Dobson Communications Corp CIA
SAL   11-13-01     284859       -2,700.000     9.829                  26,536.06     -48,530.86     -21,994.80                             Dobson Communications Corp CIA
SAL   11-14-01     284862       -1,200.000     9.446                  11,334.94     -21,569.28     -10,234.34                             Dobson Communications Corp CIA
SAL   11-15-01     284864       -3,700.000     9.773                  36,157.04     -66,505.26     -30,348.22                             Dobson Communications Corp CIA
                                -----------             ----------  ------------  -------------  -------------  ----------  -----------
      TOTAL -                        0.000              298,374.96    160,052.20    -298,374.96    -138,322.76           0         0.00

F-L   DE          Deere & Co.
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      F-L    DE        Deere & Co.                        4,900.000 SHRS      43.419     212,750.65                                         -212,750.65

F-L   DIMEZ     WTS-Dime Bancorp Inc
PUR   01-05-01     250572       15,700.000     0.000         0.00                                                       0         0.00  Dime Bancorp spin-off - DIMEZ
ICA   05-01-01     267514                                6,666.11                                                                          ADJ BEG BAL-PUR
SAL   12-14-01     287686      -15,700.000     0.100                   1,569.94      -6,666.11      -5,096.17                             WTS-Dime Bancorp Inc
                                -----------             ----------  ------------  -------------  -------------  ----------  -----------
      TOTAL -                        0.000                6,666.11      1,569.94      -6,666.11      -5,096.17           0         0.00

F-L   DISH      Echostar Communications Corp
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      F-L    DISH    . Echostar Communications Corp       4,200.000 SHRS      27.710     116,382.00                                         -116,382.00
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	DM	Dime Bancorp Inc									
PUR	02-01-01	251901	6,100.000	28.122	171,911.42				0	0.00	Dime Bancorp Inc
PUR	02-02-01	251902	1,800.000	28.943	52,204.86				0	0.00	Dime Bancorp Inc
ICA	05-01-01	267509			-6,666.11						ADJ BEG BAL-PUR
SAL	07-26-01	273700	-8,200.000	40.585		332,293.08	-203,492.86	128,800.22			Dime Bancorp @40.5849
SAL	08-09-01	275651	-3,600.000	41.257		148,304.24	-89,338.33	58,965.91			Dime Bancorp @41.257
SAL	10-23-01	282192	-3,900.000	34.045		132,536.29	-96,783.19	35,753.10			Dime Bancorp Inc
SAL	10-23-01	282192	-7,900.000	34.045		268,470.95	-196,048.00	72,422.95			Dime Bancorp Inc
	TOTAL -		-15,700.000		217,450.17	881,604.56	-585,662.38	295,942.18	0	0.00	
F-L	DRI	Darden Restaurants Inc									
PUR	04-09-01	263032	800.000	25.318	20,302.32				800	20,302.32	Darden Restaurants Inc
PUR	08-16-01	275912	1,700.000	27.652	47,110.91				1,700	47,110.91	Darden Restaurants Inc
PUR	08-17-01	275913	400.000	27.999	11,223.52				400	11,223.52	Darden Restaurants Inc
PUR	08-21-01	275914	1,300.000	[illegible].298	36,865.27				1,300	36,865.27	Darden Restaurants Inc
PUR	08-22-01	276231	500.000	27.815	13,937.70				500	13,937.70	Darden Rest. @27.8154
PUR	08-23-01	276232	200.000	27.970	5,606.08				200	5,606.08	Darden Rest. @27.9704
PUR	08-24-01	276233	300.000	28.417	8,543.01				300	8,543.01	Darden Rest. @28.4167
PUR	08-27-01	276234	200.000	28.234	5,658.74				200	5,658.74	Darden Rest. @28.2337
	TOTAL -		5,400.000		149,247.55	0.00	0.00	0.00	5,400	149,247.55	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	DRI	Darden Restaurants Inc	5,900.000	SHRS	28.524	168,292.55	35.400	12-31-01	191,160.00	22,867.45

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	ELY	Callaway Golf Company									
PUR	01-24-01	249867	500.000	19.906	9,978.15				500	9,740.33	Callaway Golf Co @19.9063
PUR	01-25-01	249868	7,700.000	19.655	151,728.50				7,700	150,000.94	Callaway Golf Co @19.655
PUR	01-25-01	249870	3,000.000	19.655	59,115.00				3,000	58,441.93	Callaway Golf Co @19.655
PUR	04-26-01	264567	3,400.000	25.942	88,371.[illegible]				3,400	66,234.18	Callaway Golf Co @25.9417
PUR	04-27-01	264568	800.000	26.850	21,527.68				800	15,584.51	Callaway Golf Co @26.8496
PUR	11-02-01	284590	1,500.000	14.200	21,375.00				1,500	29,220.96	Callaway Golf Co
	TOTAL -		16,900.000		352,096.11	0.00	0.00	0.00	16,900	329,222.85	

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	EMLX	Emulex Corp									
SAL	02-02-01	251912	-2,900.000	92.666		268,722.73	-158,775.00	109,947.73			Emulex Corp
SAL	02-06-01	251913	-1,900.000	89.329		169,718.68	-104,025.00	65,693.68			Emulex Corp
SAL	06-14-01	269736	-500.000	31.823		15,910.96	-27,375.00	-11,464.04			Emulex Corp @31.823
SAL	06-14-01	269737	-1,700.000	31.894		54,218.33	-93,075.00	-38,856.67			Emulex Corp @31.8942
PUR	11-09-01	284876	3,800.000	27.757	105,476.60				3,800	113,171.44	Emulex Corp @27.757
PUR	11-27-01	285264	8,900.000	30.157	268,392.[redacted]				8,900	265,059.42	Emulex Corp @30.1565
	TOTAL -		5,700.000		373,869.45	508,570.70	-383,250.00	125,370.70	12,700	378,730.86	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	EMLX	Emulex Corp	4,250.000 SHRS	30.642	130,229.12	39.510	12-31-01	501,777.00	371,547.88

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	EMN	Eastman Chemical Company									
PUR	05-16-01	267134	400.000	55.060	22,048.00				0	0.00	Eastman Chemical Co
PUR	05-17-01	267135	1,300.000	55.203	71,842.42				0	0.00	Eastman Chemical Co
PUR	05-18-01	267136	2,200.000	55.011	121,156.64				0	0.00	Eastman Chemical Co
SAL	08-24-01	276245	-600.000	41.403		24,804.67	-33,084.16	-8,279.49			Eastman Chemical Co @41.4025
SAL	08-27-01	276246	-1,000.000	40.976		40,914.83	-55,140.27	-14,225.44			Eastman Chemical Co @40.9762
SAL	08-28-01	276337	-1,700.000	39.943		67,798.83	-93,738.47	-25,939.64			Eastman Chemical Co @39.943
SAL	08-29-01	276435	-600.000	39.044		23,395.73	-33,084.16	-9,688.43			Eastman Chemical Co @39.0442
	TOTAL -		0.000		215,047.06	156,914.06	215,047.06	-58,133.00	0	0.00	
F-L	ERTS	Electronic Arts									
PUR	04-19-01	263880	2,200.000	58.625	128,975.22				0	0.00	Electronics Arts @58.6251
SAL	09-11-01	266347	-2,200.000	52.959		116,506.35	-128,975.22	-12,468.87			Electronic Arts @52.9592
	TOTAL -		0.000		128,975.22	116,506.35	-128,975.22	-12,468.87	0	0.00	
F-L	ESV	Ensco International Inc									
SAL	04-18-01	263878	-3,600.000	36.497		131,168.10	-124,425.19	6,742.91			Ensco Int'l @36.4968
SAL	05-22-01	267152	-3,100.000	36.555		113,131.65	-107,143.91	5,987.74			Ensco International Inc
SAL	05-22-01	267132	-7,500.000	36.555		273,705.61	-259,219.15	14,486.46			Ensco International Inc
SAL	05-30-01	267501	-1,500.000	31.100		46,558.44	-51,843.83	-5,285.39			Ensco International @31.10

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                                                                                 Market Street Trust Company
04-23-02                                                                  PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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SAL   05-31-01    267502           -4,400.000      32.162                  141,242.32     -152,075.23    -10,832.91                            Ensco International @32.1616
                                -------------               -----------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                     -20,100.000                      0.00    705,806.12     -694,707.31     11,098.81           0          0.00

F-L    ETR         Entergy Corp
SAL   02-02-01    251917          -10,500.000      33.380                  370,847.61     -303,629.85     67,217.76                            Entergy Corp
                                -------------               -----------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                     -10,500.000                      0.00    370,847.61     -303,629.85     67,217.76           0          0.00

F-L    FCS         Fairchild Semicon Internat'l
PUR   11-01-01    284589            9,900.000      21.875    217,061.46                                                    9,900    217,061.46  Fairchild Semicon Internat'l
PUR   11-08-01    284865            8,000.000      23.000    184,400.00                                                    8,000    184,400.00  Fairchild Semicon Internat'l
                                -------------               -----------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                      17,900.000                401,461.46          0.00            0.00          0.00      17,900    401,461.46

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST       PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      F-L    FCS       Fairchild Semicon Internat'l     24,100.000 SHRS       24.348      586,789.64      28.200  12-31-01     504,780.00       -82,009.64

F-L    FDRY        Foundry Networks Inc
PUR   07-31-01    274078           12,300.000      20.552    252,799.44                                                        0          0.00  Foundry Networks Inc
SAL   11-01-01    284557           -1,300.000       9.760                   12,687.57      -26,718.64    -14,031.07                            Foundry Network Inc
SAL   11-01-01    284562           -3,100.000       9.760                   30,147.11      -63,713.68    -33,566.57                            Foundry Networks Inc
SAL   11-05-01    284573           -7,900.000       9.497                   75,026.16     -162,367.12    -87,340.96                            Foundry Networks Inc
                                -------------               -----------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                           0.000                252,799.44    117,860.84     -252,799.44   -134,938.60           0          0.00

F-L    FILE        Filenet Corp
PUR   02-02-01    251903            6,800.000      25.938    176,375.00                                                    6,800    176,375.00  Filenet Corp @25.9375
PUR   11-05-01    284622            7,600.000      17.155    130,376.48                                                    7,600    130,376.48  Filenet Corp
                                -------------               -----------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                      14,400.000                306,751.48          0.00            0.00          0.00      14,400    306,751.48

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST       PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      F-L    FILE      Filenet Corp                     20,700.000 SHRS       20.552      425,430.30      20.290  12-31-01     292,176.00      -133,254.30
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	FLC	R & B Falcon Corp									
CNVFR	02-05-01	251925	-14,700.000	22.400		388,594.50	-388,594.50	0.00			R&B Falcon Exchange to Trans.
	TOTAL -		-14,700.000		0.00	388,594.50	-388,594.50	0.00	0	0.00	
F-L	FLR	Fluor Corp									
PUR	02-22-01	252378	3,000.000	36.642	110,104.80				0	0.00	Fluor Corp
PUR	02-23-01	252327	1,000.000	37.020	37,079.50				0	0.00	Fluor Corp
PUR	02-23-01	252329	3,100.000	37.020	114,946.45				0	0.00	Fluor Corp
SAL	05-23-01	267157	-4,600.000	61.131		280,915.38	-169,831.18	111,084.20			Fluor Corp
SAL	05-24-01	267158	-2,500.000	59.175		147,781.81	-92,299.57	55,482.24			Fluor Corp
	TOTAL -		0.000		262,130.75	428,697.19	-262,130.75	166,566.44	0	0.00	
F-L	FST	Forest Oil Corp									
SAL	05-31-01	267503	-24,100.000	33.800		813,709.34	-725,496.37	88,212.97			Forest Oil Corp @33.80
SAL	06-08-01	269734	-600.000	34.030		20,381.25	-18,062.15	2,319.10			Forest Oil Corp @34.0299
SAL	06-29-01	271062	-600.000	29.649		17,753.10	-18,062.15	-309.05			Forest Oil Corp
SAL	06-29-01	271065	-100.000	29.968		2,990.77	-3,010.36	-19.59			Forest Oil Corp
SAL	07-05-01	272663	-600.000	29.566		17,702.76	-18,062.15	-359.39			Forest Oil Corp
SAL	07-11-01	273041	-800.000	27.000		21,551.28	-24,082.87	-2,531.59			Forest Oil Corp @27.00
SAL	09-28-01	279255	-500.000	24.806		12,372.68	-15,051.79	-2,679.11			Forest Oil Corp
SAL	10-01-01	281062	-4,300.000	24.902		106,816.60	-129,445.40	-22,628.80			Forest Oil Corp
	TOTAL -		-31,600.000		0.00	1,013,277.78	-951,273.24	62,004.54	0	0.00	
F-L	GDW	Golden West Financial Corp									
PUR	02-07-01	251905	2,100.000	57.559	121,000.32				0	0.00	Golden West Financial Corp
PUR	02-08-01	251906	5,000.000	57.707	288,833.00				0	0.00	Golden West Financial Corp
SAL	07-26-01	273699	-4,700.000	62.417		293,067.65	-229,092.35	63,975.30			Golden West Financial @62.4169
SAL	10-01-01	281063	-2,200.000	56.500		124,163.86	-107,234.73	16,929.13			Golden West Financial Corp
SAL	10-01-01	281063	-300.000	56.500		16,931.43	-14,622.92	2,308.51			Golden West Financial Corp
SAL	10-08-01	281064	-3,250.000	56.200		182,448.91	-158,414.93	24,033.98			Golden West Financial Corp
SAL	10-09-01	281065	-3,550.000	55.692		197,485.23	-173,037.85	24,447.38			Golden West Financial Corp
	TOTAL -		-6,900.000		409,833.32	814,097.08	-682,402.78	131,694.30	0	0.00	

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04-23-02                                                        Market Street Trust Company                                                        PAGE 16
FC3.3                                                  PURCHASE / SALE DETAIL HISTORY REPORT
                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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F-L   GIS       General Mills
PUR   10-31-01    282658            4,700.000     45.879     215,916.59                                                   4,700    217,067.23  General Mills Inc @45.879
                                  -----------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                       4,700.000                215,916.59           0.00            0.00          0.00       4,700    217,067.23

F-L   GMH       General Motors Class H
PUR   09-27-01    279152            2,300.000     11.690      27,001.77                                                   2,300     27,001.77  General Motors Corp Cl H
PUR   11-02-01    284607            3,300.000     13.346      44,208.12                                                   3,300     44,208.12  General Motors Corp Cl H
                                  -----------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                       5,600.000                 71,209.89           0.00            0.00          0.00       5,600     71,209.89

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      F-L    GMH        General Motors Class H         65,100.000 SHRS      30.508    1,986,039.98     15.450  12-31-01    933,180.00   -1,052,859.98

F-L   GP        Georgia - Pacific Corporation
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      F-L    GP         Georgia - Pacific Corporation  13,300.000 SHRS      29.748      395,650.34     27.610  12-31-01          0.00     -395,650.34

F-L   GSB       Golden St Bancorp Inc
PUR   09-28-01    279248            6,300.000     30.121     190,144.71                                                   6,300    182,445.11  Golden State Bancorp Inc
                                  -----------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                       6,300.000                190,144.71           0.00            0.00          0.00       6,300    182,445.11

F-L   GSPN      Globespan Virata Inc
PUR   04-19-01    263891            7,500.000     25.451     190,881.75                                                   7,500    190,881.75  Globespan Semiconductor Inc
PUR   04-20-01    263892            4,000.000     26.283     105,130.40                                                   4,000    105,130.40  Globespan Semiconductor Inc
                                  -----------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                      11,500.000                296,012.15           0.00            0.00          0.00      11,500    296,012.15

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      F-L    GSPN       Globespan Virata Inc           13,000.000 SHRS      24.747      321,707.15     12.950  12-31-01    148,925.00     -172,782.15

F-L   GSPNV     Globespan Virata Inc
CNVTO 12-19-01  287659.1            2,550.000     11.647      29,699.56                                                   2,550     29,699.56  Virata exchange to Globespan
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER ...	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
CNVTO	12-19-01	287659.2	1,530.000	11.647	17,819.74				1,530	17,819.74	Virata exchange to Globespan
	TOTAL -		4,080.000		47,519.30	0.00	0.00	0.00	4,080	47,519.30	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	DSPNV	Globespan Virata Inc	4,080.000 SHRS	11.647	47,519.30	12.950	12-31-01	52,836.00	5,316.70

F-L HBAN Huntington Bancshares Inc

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	HBAN	Huntington Bancshares Inc	12,900.000 SHRS	19.710	254,260.41	23.875	12-31-99	0.00	-254,260.41

F-L	HCA	HCA Inc									
SAL	02-01-01	251922	-1,500.000	37.093		55,546.89	-57,627.75	-2,080.86			HCA-Healthcare Co.
	TOTAL -		-1,500.000		0.00	55,546.89	-57,627.75	-2,080.86	0	0.00	
F-L	HCR	Manor Care Inc									
SAL	05-23-01	267159	-1,900.000	24.149		45,768.33	-31,510.57	14,257.76			Manor Care Inc
SAL	05-24-01	267160	-13,700.000	23.393		319,651.41	-227,207.75	92,443.66			Manor Care Inc
	TOTAL -		-15,600.000		0.00	365,419.74	-258,718.32	106,701.42	0	0.00	
F-L	HOT	Starwood Hotels & Resorts									
PUR	03-13-01	257251	3,800.000	33.660	128,135.24				0	0.00	Starwood Hotels & Resorts
SAL	09-26-01	279047	-4,700.000	21.062		98,754.04	-150,224.12	-51,470.08			Starwood Hotels & Resorts Inc
SAL	09-26-01	279048	-8,600.000	21.107		181,079.84	-274,878.17	-95,798.33			Starwood Hotels & Resorts Inc
SAL	09-28-01	279257	-12,100.000	21.750		262,570.90	-386,747.20	-124,176.30			Starwood Hotels & Resorts
	TOTAL -		-21,600.000		128,135.24	542,404.78	-811,849.49	-269,444.71	0	0.00	
F-L	HRC	Healthsouth Corp									
SAL	08-13-01	275654	-3,000.000	17.450		52,198.25	-29,598.13	22,600.12			HealSouth Corp @17.45
SAL	08-21-01	275921	-33,700.000	17.580		590,724.40	-332,485.68	258,238.72			HealthSouth Corp
PUR	09-27-01	279153	10,500.000	16.039	168,938.70				10,500	124,815.39	HealthSouth Corp @16.0394
PUR	11-02-01	284592	1,700.000	13.433	22,836.25				1,700	20,208.21	Healthsouth Corp

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ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING     REMAINING
TYPE   TXN DATE TXN NUMBER      QUANTITY     PRICE      COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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       TOTAL -               -24,300.000              191,824.95    642,922.65     -362,083.81    280,838.84      12,200    145,023.60

F-L    HSP      Hispanic Broadcasting Corp
PUR    05-23-01   267142       6,900.000    25.183    174,173.94                                                        0          0.00 Hispanic Broadcasting Corp
SAL    08-15-01   275915      -1,100.000    21.857                   23,987.00      -27,766.86     -3,779.86                           Hispanic Broadcasting Corp
SAL    08-16-01   275916      -1,400.000    21.822                   30,479.50      -35,339.64     -4,860.14                           Hispanic Broadcasting Corp
SAL    08-17-01   275917        -500.000    21.351                   10,650.04      -12,621.30     -1,971.26                           Hispanic Broadcasting Corp
SAL    08-21-01   275918      -2,100.000    20.254                   42,426.56      -53,009.46    -10,582.90                           Hispanic Broadcasting Corp
SAL    08-22-01   276241      -1,000.000    20.138                   20,087.22      -25,242.60     -5,155.38                           Hispanic Broadcasting Corp
SAL    08-23-01   276242        -200.000    20.111                    4,012.10       -5,048.52     -1,036.42                           Hispanic Broadcasting Corp
SAL    08-24-01   276243        -500.000    21.003                   10,476.24      -12,621.30     -2,145.06                           Hispanic Broadcasting Corp
SAL    08-27-01   276244        -100.000    20.923                    2,087.26       -2,524.26       -437.00                           Hispanic Broadcasting Corp
                             -----------              ------------- ------------- --------------- ------------ ----------- -------------
       TOTAL -                     0.000              174,173.94    144,205.92     -174,173.94    -29,968.02           0          0.00

F-L    IGL      IMC Global Inc
SAL    06-15-01   269741      -5,300.000    11.000                   58,033.05      -77,168.00    -19,134.95                           IMC Global @11.00
                             -----------              ------------- ------------- --------------- ------------ ----------- -------------
       TOTAL -                -5,300.000                    0.00     58,033.05      -77,168.00    -19,134.95           0          0.00

F-L    IMCL     Imclone Systems Inc
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM     AVERAGE          COST       PRICE  DATE      MARKET VALUE  UNREALIZED G/L
       F-L    IMCL       Imclone Systems Inc      5,900.000 SHRS       22.397    132,142.30                                       -132,142.30

F-L    INTU     Intuit Inc
PUR    10-23-01   282519       5,500.000    41.362    227,488.80                                                    5,500    237,148.08 Intuit Inc @41.3616
PUR    11-02-01   284608       4,600.000    43.678    200,919.72                                                    4,600    198,342.04 Intuit Inc
PUR    11-09-01   284872       4,150.000    45.121    187,253.81                                                    4,150    178,939.01 Intuit Inc
PUR    12-31-01   288929       2,700.000    43.738    118,160.64                                                    2,700    116,418.15 Intuit Inc @43.7382
PUR    12-31-01   288932       9,300.000    43.309    402,775.56                                                    9,300    400,995.85 Intuit Inc @43.3092
                             -----------              ------------- ------------- --------------- ------------ ----------- -------------
       TOTAL -                26,250.000            1,136,598.53          0.00            0.00          0.00      26,250  1,131,843.13

       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM     AVERAGE          COST       PRICE  DATE      MARKET VALUE  UNREALIZED G/L
       F-L    INTU       Intuit Inc              18,750.000 SHRS       43.118    808,459.38      42.780  12-31-01  1,122,975.00      314,515.62
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Market Street Trust Company
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BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	IVGN	Invitrogen Corp									
SAL	01-24-01	249871	-1,300.000	74.125		96,359.28	-85,926.39	10,432.89			Invitrogen Corp @74.125
	TOTAL -		-1,300.000		0.00	96,359.28	-85,926.39	10,432.89	0	0.00	

F-L JDSU JDS Uniphase Corp

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	JDSU	JDS Uniphase Corp	7,500.000	SHRS	10.000	75,000.00	8.680	12-31-01	0.00	-75,000.00

F-L	JPMSWEEP	J P Morgan Money Market Sweep									
SAL	01-02-01	249177	-48,760.650	1.000		48,760.65	-48,760.65	0.00			Prime Money Market Sweep Fund
SAL	01-03-01	249178	-641,795.470	1.000		641,795.47	-641,795.47	0.00			Prime Money Market Sweep Fund
SAL	01-04-01	249179	-760,926.790	1.000		760,926.79	-760,926.79	0.00			Prime Money Market Sweep Fund
PUR	01-05-01	249172	26,907.730	1.000	26,907.73				0	0.00	Prime Money Market Sweep Fund
PUR	01-18-01	249173	205,248.580	1.000	205,248.58				0	0.00	Prime Money Market Sweep Fund
SAL	01-19-01	249180	-55,700.400	1.000		55,700.40	-55,700.40	0.00			Prime Money Market Sweep Fund
PUR	01-29-01	249866	86,381.130	1.000	86,381.13				0	0.00	Prime Money Market Sweep Fund
SAL	01-30-01	249873	-116,233.020	1.000		116,233.02	-116,233.02	0.00			Prime Money Market Sweep Fund
SAL	01-31-01	249874	-59,115.000	1.000		59,115.00	-59,115.00	0.00			Prime Money Market Sweep Fund
PUR	02-06-01	251895	367,108.470	1.000	367,108.47				0	0.00	Prime Money Market Sweep Fund
PUR	02-07-01	251896	828,654.470	1.000	828,654.47				0	0.00	Prime Money Market Sweep Fund
PUR	02-08-01	251897	497,081.530	1.000	497,081.53				0	0.00	Prime Money Market Sweep Fund
PUR	02-09-01	251898	169,718.680	1.000	169,718.68				0	0.00	Prime Money Market Sweep Fund
SAL	02-12-01	251918	-65,453.430	1.000		65,453.43	-65,453.43	0.00			Prime Money Market Sweep Fund
SAL	02-13-01	251919	-288,833.000	1.000		288,833.00	-288,833.00	0.00			Prime Money Market Sweep Fund
SAL	02-14-01	251920	-16,559.080	1.000		16,559.08	-16,559.08	0.00			Prime Money Market Sweep Fund
SAL	02-15-01	251921	-44,540.610	1.000		44,540.61	-44,540.61	0.00			Prime Money Market Sweep Fund
PUR	02-16-01	251899	34,843.830	1.000	34,843.83				0	0.00	Prime Money Market Sweep Fund
SAL	02-20-01	252331	-256,623.420	1.000		256,623.42	-256,623.42	0.00			Prime Money Market Sweep Fund
SAL	02-21-01	252332	-351,895.160	1.000		351,895.16	-351,895.16	0.00			Prime Money Market Sweep Fund
PUR	02-22-01	252313	38,991.400	1.000	38,991.40				0	0.00	Prime Money Market Sweep Fund
SAL	02-23-01	252333	-48,404.720	1.000		48,404.72	-48,404.72	0.00			Prime Money Market Sweep Fund
PUR	02-26-01	252314	84,557.030	1.000	84,557.03				0	0.00	Prime Money Market Sweep Fund
SAL	02-27-01	252334	-216,469.140	1.000		216,469.14	-216,469.14	0.00			Prime Money Market Sweep Fund
SAL	02-28-01	252335	-43,419.920	1.000		43,419.92	-43,419.92	0.00			Prime Money Market Sweep Fund

Market Street Trust Company
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BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	03-01-01	257057	-262,451.280	1.000		262,451.28	-262,451.28	0.00			Prime Money Market Sweep Fund
PUR	03-02-01	257055	147,389.310	1.000	147,389.31				0	0.00	Prime Money Market Sweep Fund
SAL	03-05-01	257058	-661,183.980	1.000		661,183.98	-661,183.98	0.00			Prime Money Market Sweep Fund
PUR	03-12-01	257056	52,232.200	1.000	52,232.20				0	0.00	Prime Money Market Sweep Fund
PUR	03-16-01	257249	218,048.660	1.000	218,048.66				0	0.00	Prime Money Market Sweep Fund
PUR	03-21-01	257250	16,181.460	1.000	16,181.46				0	0.00	Prime Money Market Sweep Fund
SAL	03-29-01	259219	-54,557.490	1.000		54,557.49	-54,557.49	0.00			Prime Money Market Sweep Fund
PUR	04-03-01	263025	58,835.000	1.000	58,835.00				0	0.00	Prime Money Market Sweep Fund
PUR	04-04-01	263026	178,253.330	1.000	178,253.33				0	0.00	Prime Money Market Sweep Fund
PUR	04-09-01	263027	503,575.180	1.000	503,575.18				0	0.00	Prime Money Market Sweep Fund
SAL	04-11-01	263035	-90,000.000	1.000		90,000.00	-90,000.00	0.00			Prime Money Market Sweep Fund
PUR	04-12-01	263028	94,432.540	1.000	94,432.54				0	0.00	Prime Money Market Sweep Fund
PUR	04-16-01	263029	239,012.030	1.000	239,012.03				0	0.00	Prime Money Market Sweep Fund
PUR	04-17-01	263030	432,433.510	1.000	432,433.51				0	0.00	Prime Money Market Sweep Fund
PUR	04-18-01	263031	109,544.960	1.000	109,544.96				0	0.00	Prime Money Market Sweep Fund
PUR	04-23-01	263872	950,057.390	1.000	950,057.39				0	0.00	Prime Money Market Sweep Funds
SAL	04-24-01	263873	-1,365,417.300	1.000		1,365,417.30	-1,365,417.30	0.00			Prime Money Market Sweep Fund
SAL	04-25-01	263874	-379,578.290	1.000		379,578.29	-379,578.29	0.00			Prime Money Market Sweep Fund
SAL	04-26-01	263875	-53,042.400	1.000		53,042.40	-53,042.40	0.00			Prime Money Market Sweep Fund
SAL	05-01-01	266340	-112,530.980	1.000		112,530.98	-112,530.98	0.00			Prime Money Market Sweep Fund
SAL	05-02-01	266341	-21,527.680	1.000		21,527.68	-21,527.68	0.00			Prime Money Market Sweep Fund
PUR	05-10-01	266337	21,190.090	1.000	21,190.09				0	0.00	Prime Money Market Sweep Fund
PUR	05-14-01	266338	17,801.050	1.000	17,801.05				0	0.00	Prime Money Market Sweep Fund
PUR	05-16-01	266339	108,824.830	1.000	108,824.83				0	0.00	Prime Money Market Sweep Fund
SAL	05-21-01	267146	-22,048.000	1.000		22,048.00	-22,048.00	0.00			Prime Money Market Sweep Fund
SAL	05-22-01	267147	-71,842.420	1.000		71,842.42	-71,842.42	0.00			Prime Money Market Sweep Fund
SAL	05-23-01	267148	-54,358.590	1.000		54,358.59	-54,358.59	0.00			Prime Money Market Sweep Fund
SAL	05-24-01	267149	-136,103.480	1.000		136,103.48	-136,103.48	0.00			Prime Money Market Sweep Fund
PUR	05-25-01	267132	381,864.710	1.000	381,864.71				0	0.00	Prime Money Market Sweep Fund
SAL	05-29-01	267150	-68,568.620	1.000		68,568.62	-68,568.62	0.00			Prime Money Market Sweep Fund
PUR	05-30-01	267133	857,303.600	1.000	857,303.60				0	0.00	Prime Money Market Sweep Fund
SAL	05-31-01	267151	-532,063.490	1.000		532,063.49	-532,063.49	0.00			Prime Money Market Sweep Fund
SAL	06-01-01	268825	-154,446.780	1.000		154,446.78	-154,446.78	0.00			Prime Money Market Sweep Fund
[redacted]	06-04-01	268820	80,201.770	1.000	80,201.77				0	0.00	Prime Money Market Sweep Fund
PUR	06-05-01	268821	235,387.450	1.000	235,387.45				0	0.00	Prime Money Market Sweep Fund
SAL	06-06-01	268826	-927,967.490	1.000		927,967.49	-927,967.49	0.00			Prime Money Market Sweep Fund
PUR	06-08-01	268822	316,256.440	1.000	316,256.44				0	0.00	Prime Money Market Sweep Fund

Market Street Trust Company
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BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	06-13-01	269728	313,780.730	1.000	313,780.73				0	0.00	Prime Money Market Sweep Fund
PUR	06-19-01	269729	70,129.290	1.000	70,129.29				0	0.00	Prime Money Market Sweep Fund
PUR	06-20-01	269730	654,524.510	1.000	654,524.51				0	0.00	Prime Money Market Sweep Fund
PUR	06-21-01	269731	80,282.770	1.000	80,282.77				0	0.00	Prime Money Market Sweep Fund
PUR	06-27-01	270538	19,325.450	1.000	19,325.45				0	0.00	Prime MM Sweep Fund
PUR	06-28-01	270539	30,552.250	1.000	30,552.25				0	0.00	Prime MM Sweep Fund
PUR	07-03-01	272634	134,377.060	1.000	134,377.06				0	0.00	Prime MM Sweep Fund
SAL	07-05-01	272636	-66,796.290	1.000		66,796.29	-66,796.29	0.00			Prime MM Sweep Fund
SAL	07-06-01	272637	-381,294.760	1.000		381,294.76	-381,294.76	0.00			Prime MM Sweep Fund
PUR	07-09-01	272635	66,166.090	1.000	66,166.09				0	0.00	Prime MM Sweep Fund
SAL	07-10-01	272638	-37,347.140	1.000		37,347.14	-37,347.14	0.00			Prime MM Sweep Fund
SAL	07-11-01	272639	-544,468.820	1.000		544,468.82	-544,468.82	0.00			Prime MM Sweep Fund
SAL	07-13-01	272640	-452,800.690	1.000		452,800.69	-452,800.69	0.00			Prime MM Sweep Fund
PUR	07-16-01	273036	21,551.280	1.000	21,551.28				0	0.00	Prime MM Sweep Fund
SAL	07-18-01	273042	-3,329.990	1.000		3,329.99	-3,329.99	0.00			Prime MM Sweep Fund
SAL	07-19-01	273043	-114,005.600	1.000		114,005.60	-114,005.60	0.00			Prime MM Sweep Fund
SAL	07-20-01	273044	-18,543.800	1.000		18,543.80	-18,543.80	0.00			Prime MM Sweep Fund
SAL	07-23-01	273427	-22,556.140	1.000		22,556.14	-22,556.14	0.00			Prime MM Sweep Fund
SAL	07-24-01	273428	-63,083.720	1.000		63,083.72	-63,083.72	0.00			Prime MM Sweep Fund
PUR	07-27-01	273692	75,764.870	1.000	75,764.87				0	0.00	Prime MM Sweep Fund
PUR	07-30-01	273693	403,179.400	1.000	403,179.40				0	0.00	Prime MM Sweep Fund
PUR	07-31-01	273694	625,360.730	1.000	625,360.73				0	0.00	Prime MM Sweep Fund
SAL	08-03-01	274633	-1,108,142.520	1.000		1,108,142.52	-1,108,142.52	0.00			Prime MM Sweep Fund
SAL	08-06-01	274634	-244,734.120	1.000		244,734.12	-244,734.12	0.00			Prime MM Sweep Fund
SAL	08-07-01	274635	-38,291.340	1.000		38,291.34	-38,291.34	0.00			Prime MM Sweep Fund
PUR	08-14-01	275645	230,804.000	1.000	230,804.00				0	0.00	Prime MM Sweep Fund
PUR	08-16-01	275646	52,198.250	1.000	52,198.25				0	0.00	Prime MM Sweep Fund
PUR	08-17-01	275648	426.520	1.000	426.52				0	0.00	Prime MM Sweep Fund
PUR	08-20-01	275909	23,987.000	1.000	23,987.00				0	0.00	Prime MM Sweep Fund
PUR	08-21-01	275910	12,983.600	1.000	12,983.60				0	0.00	Prime MM Sweep Fund
SAL	08-22-01	275920	-573.480	1.000		573.48	-573.48	0.00			Prime MM Sweep Fund
PUR	08-24-01	275911	596,285.690	1.000	596,285.69				0	0.00	Prime MM Sweep Fund
PUR	08-27-01	276230	6,149.520	1.000	6,149.52				0	0.00	Prime MM Sweep Fund
SAL	08-28-01	276238	-1,593.980	1.000		1,593.98	-1,593.98	0.00			Prime MM Sweep Fund
SAL	08-29-01	276239	-86,884.180	1.000		86,884.18	-86,884.18	0.00			Prime MM Sweep Fund
SAL	08-30-01	276240	-9,733.680	1.000		9,733.68	-9,733.68	0.00			Prime MM Sweep Fund
PUR	08-31-01	276335	11,120.590	1.000	11,120.59				0	0.00	Prime MM Sweep Fund

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	09-04-01	278156	-8,415.130	1.000		8,415.13	-8,415.13	0.00			Prime MM Sweep Fund
PUR	09-05-01	278153	131,340.000	1.000	131,340.00				0	0.00	Prime MM Sweep Fund
SAL	09-06-01	278157	-148,514.610	1.000		148,514.61	-148,514.61	0.00			Prime MM Sweep Fund
SAL	09-07-01	278158	-17,035.730	1.000		17,035.73	-17,035.73	0.00			Prime MM Sweep Fund
SAL	09-10-01	278159	-46,636.800	1.000		46,636.80	-46,636.80	0.00			Prime MM Sweep Fund
SAL	09-27-01	278944	-67,172.940	1.000		67,172.94	-67,172.94	0.00			Prime MM Sweep Fund
PUR	10-01-01	281041	279,833.880	1.000	279,833.88				0	0.00	Prime MM Sweep Fund
PUR	10-02-01	281042	1,097,634.610	1.000	1,097,634.61				0	0.00	Prime MM Sweep Fund
SAL	10-03-01	281045	-581,192.330	1.000		581,192.33	-581,192.33	0.00			Prime MM Sweep Fund
SAL	10-04-01	281047	-120,207.740	1.000		120,207.74	-120,207.74	0.00			Prime MM Sweep Fund
SAL	10-11-01	281048	-154,260.570	1.000		154,260.57	-154,260.57	0.00			Prime MM Sweep Fund
PUR	10-12-01	281044	2,267.580	1.000	2,267.58				0	0.00	Prime MM Sweep Fund
PUR	10-16-01	281664	304,253.040	1.000	304,253.04				0	0.00	Prime MM Sweep Fund
SAL	10-18-01	281668	-3,274.200	1.000		3,274.20	-3,274.20	0.00			Prime MM Sweep Fund
SAL	10-19-01	281669	-48,400.390	1.000		48,400.39	-48,400.39	0.00			Prime MM Sweep Fund
PUR	10-23-01	282189	401,007.240	1.000	401,007.24				0	0.00	Prime MM Sweep Fund
PUR	10-24-01	282190	214,545.350	1.000	214,545.35				0	0.00	Prime MM Sweep Fund
PUR	10-25-01	282191	110,850.800	1.000	110,850.80				0	0.00	Prime MM Sweep Fund
SAL	10-26-01	282517	-227,488.800	1.000		227,488.80	-227,488.80	0.00			Prime MM Sweep Fund
SAL	10-31-01	282518	-188,198.250	1.000		188,198.25	-188,198.25	0.00			Prime MM Sweep Fund
SAL	11-01-01	284552	-28,748.670	1.000		28,748.67	-28,748.67	0.00			Prime MM Sweep Fund
PUR	11-02-01	284549	703,015.200	1.000	703,015.20				0	0.00	Prime MM Sweep Fund
SAL	11-05-01	284553	-683,615.570	1.000		683,615.57	-683,615.57	0.00			Prime MM Sweep Fund
SAL	11-06-01	284554	-360,645.350	1.000		360,645.35	-360,645.35	0.00			Prime MM Sweep Fund
SAL	11-07-01	284555	-588,634.260	1.000		588,634.26	-588,634.26	0.00			Prime MM Sweep Fund
SAL	11-08-01	284556	-231,757.570	1.000		231,757.57	-231,757.57	0.00			Prime MM Sweep Fund
PUR	11-09-01	284550	49,699.650	1.000	49,699.65				0	0.00	Prime MM Sweep Fund
PUR	11-13-01	284551	1,352.770	1.000	1,352.77				0	0.00	Prime MM Sweep Fund
SAL	11-14-01	284848	-295,648.610	1.000		295,648.61	-295,648.61	0.00			Prime MM Sweep Fund
PUR	11-15-01	284873	313,003.730	1.000	313,003.73				0	0.00	Prime MM Sweep Fund
PUR	11-16-01	284874	492,247.850	1.000	492,247.85				210,059	210,058.79	Prime MM Sweep Fund
SAL	11-19-01	284861	-57,099.520	1.000		57,099.52	-57,099.52	0.00			Prime MM Sweep Fund
PUR	11-20-01	284875	143,257.460	1.000	143,257.46				143,257	143,257.46	Prime MM Sweep Fund
SAL	11-26-01	285270	-16,019.600	1.000		16,019.60	-16,019.60	0.00			Prime MM Sweep Fund
PUR	11-27-01	285260	247,008.880	1.000	247,008.88				247,009	247,008.88	Prime MM Sweep Fund
PUR	11-29-01	285261	84,427.740	1.000	84,427.74				84,428	84,427.74	Prime MM Sweep Fund
SAL	11-30-01	285271	-775,310.530	1.000		775,310.53	-775,310.53	0.00			Prime MM Sweep Fund

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
SAL	12-03-01	287193	-44,414.230	1.000		44,414.23	-44,414.23	0.00			Prime MM Sweep Fund
SAL	12-04-01	287194	-148,758.330	1.000		148,758.33	-148,758.33	0.00			Prime MM Sweep Fund
SAL	12-06-01	287195	-14,565.360	1.000		14,565.36	-14,565.36	0.00			Prime MM Sweep Fund
SAL	12-11-01	287196	-87,400.000	1.000		87,400.00	-87,400.00	0.00			Prime MM Sweep Fund
PUR	12-12-01	287201	2,090.590	1.000	2,090.59				2,091	2,090.59	Prime MM Sweep Fund
SAL	12-14-01	287677	-9,730.360	1.000		9,730.36	-9,730.36	0.00			Prime MM Sweep Fund
PUR	12-17-01	287671	286,094.290	1.000	286,094.29				286,094	286,094.29	Prime MM Sweep Fund
PUR	12-18-01	287672	269,250.680	1.000	269,250.68				269,251	269,250.68	Prime MM Sweep Fund
PUR	12-19-01	287674	125,934.330	1.000	125,934.33				125,934	125,934.33	Prime MM Sweep Fund
PUR	12-20-01	288175	421,851.900	1.000	421,851.90				421,852	421,851.90	Prime MM Sweep Funds
PUR	12-27-01	288662	9,457.390	1.000	9,457.39				9,457	9,457.39	Prime MM Sweep Fund
	TOTAL -		347,949.140		16,477,692.92	16,129,743.78	-16,129,743.78	0.00	1,799,432	1,799,432.05	
F-L	K	Kellogg									
PUR	10-31-01	282659	7,000.000	30.592	214,570.30				0	0.00	Kellogg Co @30.592
SAL	12-12-01	287679	-7,000.000	29.148		203,606.39	-214,570.30	-10,963.91			Kellogg Co @29.1476
	TOTAL -		0.000		214,570.30	203,606.39	-214,570.30	-10,963.91	0	0.00	
F-L	KEY	Keycorp									
PUR	08-09-01	275650	11,400.000	27.621	315,562.26				0	0.00	Keycorp @27.6209
SAL	12-13-01	287685	-11,400.000	23.098		262,619.86	-315,562.26	-52,942.40			KeyCorp @23.0976
	TOTAL -		0.000		315,562.26	262,619.86	-315,562.26	-52,942.40	0	0.00	
F-L	KFY	Korn/Ferry International									
PUR	05-23-01	267143	3,500.000	21.623	75,889.45				0	0.00	Korn/Ferry International
SAL	09-27-01	279158	-3,500.000	8.260		28,732.98	-75,889.45	-47,156.47			Korn/Ferry International
	TOTAL -		0.000		75,889.45	28,732.98	-75,889.45	-47,156.47	0	0.00	
F-L	KOPN	Kopin Corp									
PUR	11-01-01	284584	8,000.000	13.610	108,877.60				8,000	108,877.60	Kopin Corp
PUR	11-02-01	284619	8,800.000	14.560	128,128.00				8,800	128,128.00	Kopin Corp
	TOTAL -		16,800.000		237,005.60	0.00	0.00	0.00	16,800	237,005.60	

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	KOPN	Kopin Corp	17,700.000	SHRS	14.133	250,145.60	14.000	12-31-01	235,200.00	-14,945.60

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	LM	Legg Mason Inc									
PUR	02-01-01	251907	5,000.000	56.300	281,800.00				0	0.00	Legg Mason Inc
SAL	02-21-01	252341	-2,100.000	50.170		105,227.90	-119,905.33	-14,677.43			Legg Mason Inc
SAL	02-22-01	252342	-2,400.000	49.973		119,788.16	-137,034.66	-17,246.50			Legg Mason Inc
SAL	02-22-01	252384	-800.000	49.973		39,929.38	-45,678.22	-5,748.84			Legg Mason Inc
SAL	02-27-01	252385	-2,800.000	50.001		139,829.57	-159,873.77	-20,044.20			Legg Mason Inc
SAL	03-07-01	257065	-1,000.000	50.269		50,207.42	-57,097.77	-6,890.35			Legg Mason @50.2691
	TOTAL -		-4,100.000		281,800.00	454,982.43	-519,589.75	-64,607.32	0	0.00	
F-L	LSI	LSI Logic Corp									
PUR	06-08-01	269742	500.000	22.415	11,232.70				500	10,760.53	LSI Logic Corp @22.4154
PUR	06-29-01	271057	2,400.000	19.695	47,308.48				2,400	51,650.54	LSI Logic Corp @19.695
PUR	07-31-01	274079	11,000.000	22.311	245,972.10				11,000	236,731.66	LSI Logic Corp @22.311
PUR	11-02-01	284609	1,200.000	17.957	21,584.04				1,200	25,825.27	LSI Logic Corp
	TOTAL -		15,100.000		326,177.32	0.00	0.00	0.00	15,100	324,968.00	
F-L	MANH	Manhattan Associates Inc									
PUR	11-08-01	284866	2,350.000	31.701	74,497.59				2,350	75,887.18	Manhattan Associates Inc
PUR	11-09-01	284867	3,350.000	31.140	104,319.00				3,350	108,179.61	Manhattan Associates Inc
PUR	11-12-01	284868	600.000	31.571	18,942.42				600	19,375.45	Manhattan Associates Inc
PUR	11-13-01	284869	900.000	34.135	30,721.32				900	29,063.19	Manhattan Associates Inc
PUR	11-14-01	284870	1,000.000	36.110	36,110.00				1,000	32,292.42	Manhattan Associates Inc
	TOTAL -		8,200.000		264,590.33	0.00	0.00	0.00	8,200	264,797.85	
F-L	MCCRK	McCormick & Co									
PUR	10-31-01	282660	4,900.000	43.650	214,182.92				4,900	214,182.92	McCormick & Co Inc @43.65
	TOTAL -		4,900.000		214,182.92	0.00	0.00	0.00	4,900	214,182.92	

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                                                                      Market Street Trust Company
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ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE            COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      F-L    MCCRK      McCormick & Co                        10,400.000 SHRS       21.807      226,797.92     41.970 12-31-01   205,653.00      -21,144.92

F-L    MCDT       McData Corp Cl B
PUR   09-24-01    278941            400.000    11.357      4,542.84                                                           0         0.00 McData Corp Cl B
SAL   11-01-01    284567           -400.000    16.200                     6,479.78     -4,542.84      1,936.94                                 McData Corp Cl B
                             -------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                         0.000                4,542.84      6,479.78     -4,542.84      1,936.94           0         0.00

F-L    MCN        MCN Energy Group Inc
SAL   02-01-01    251910        -25,000.000    26.890                   670,730.09   -601,725.00     69,005.09                                 MCN Energy Group
                             -------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                   -25,000.000                    0.00    670,730.09   -601,725.00     69,005.09           0         0.00

F-L    MERQ       Mercury Interactive Corp
PUR   04-19-01    263881          2,000.000    63.874    127,748.00                                                           0         0.00 Mercury Interactive Corp
SAL   11-01-01    284563         -2,000.000    24.210                    48,418.38   -127,748.00    -79,329.62                                 Mercury Interactive Corp
                             -------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                         0.000              127,748.00     48,418.38   -127,748.00    -79,329.62           0         0.00

F-L    MI         Marshall & Ilsley Corp
PUR   09-28-01    279249          3,300.000    57.138    188,755.05                                                       3,300   188,755.05 Marshall & Ilsley Corp
PUR   10-08-01    281055          1,400.000    52.792     73,993.08                                                       1,400    73,993.08 Marshall & Ilsley Corp
PUR   10-09-01    281058          1,200.000    53.300     64,032.00                                                       1,200    64,032.00 Marshall & Ilsley Corp
                             -------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                     5,900.000              326,780.13          0.00          0.00          0.00       5,900   326,780.13

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE            COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      F-L    MI         Marshall & Ilsley Corp                10,500.000 SHRS       57.098      599,526.05     63.280 12-31-01   373,352.00     -226,174.05

F-L    MTP        Montana Power Co
SAL   02-02-01    251914         -6,700.000    20.310                   135,736.79   -198,082.66    -62,345.87                                 Montana Power Company
SAL   02-05-01    251915         -6,300.000    20.088                   126,233.92   -186,256.84    -60,022.92                                 Montana Power Company
                             -------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                   -13,000.000                    0.00    261,970.71   -384,339.50   -122,368.79           0         0.00
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	MYGN	Myriad Genetics Inc									
SAL	02-23-01	252344	-1,400.000	52.993		74,187.86	-123,065.04	-48,877.18			Myriad Genetics Inc
SAL	02-26-01	252391	-2,800.000	58.061		162,565.10	-246,130.08	-83,564.98			Myriad Genetics Inc
SAL	09-28-01	279256	-1,900.000	31.026		58,948.19	-167,016.84	-108,068.65			Myriad Genetics Inc
	TOTAL -		-6,100.000		0.00	295,701.15	-536,211.96	-240,510.81	0	0.00	
F-L	N	Inco LTD									
PUR	07-05-01	272651	2,300.000	17.042	39,312.29				0	0.00	Inco LTD @17.0423
PUR	07-06-01	272652	5,500.000	17.084	94,235.90				1,700	29,040.57	Inco LTD @17.0838
PUR	07-09-01	272653	1,300.000	17.229	22,462.83				1,300	22,207.50	Inco LTD @17.2291
PUR	07-10-01	272654	1,300.000	17.236	22,471.41				1,300	22,207.50	Inco LTD @17.2357
PUR	07-16-01	273039	100.000	17.221	1,727.06				100	1,708.27	Inco LTD @17.2206
PUR	07-17-01	273040	1,100.000	16.808	18,543.80				1,100	18,790.96	Inco LTD @16.808
PUR	07-18-01	273429	600.000	16.909	10,175.34				600	10,249.61	Inco LTD @16.9089
PUR	07-19-01	273432	1,100.000	17.241	19,020.54				1,100	18,790.96	Inco LTD @ 17.2414
PUR	07-25-01	273695	1,000.000	16.283	16,333.30				1,000	17,082.69	Inco LTD @16.2833
SAL	11-05-01	284574	-1,800.000	13.750		24,659.17	-30,748.84	-6,089.67			Inco LTD
SAL	11-05-01	284577	-4,300.000	13.853		59,353.33	-73,455.57	-14,102.24			Inco LTD
	TOTAL -		8,200.000		244,282.47	84,012.50	-104,204.41	-20,191.91	8,200	140,078.06	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	N	Inco LTD	8,300.000	SHRS	17.087	141,821.06	16.940	12-31-01	138,908.00	-2,913.06

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
F-L	NBL	Noble Affiliates Inc									
SAL	04-18-01	263879	-6,100.000	44.180		269,123.01	-249,510.69	19,612.32			Noble Affiliates @44.18
	TOTAL -		-6,100.000		0.00	269,123.01	-249,510.69	19,612.32	0	0.00	
F-L	NFB	North Fork Bancorporation									
PUR	04-19-01	263882	5,200.000	26.876	140,066.68				5,200	149,652.15	North Fork Bankcorporation NY
PUR	04-19-01	263883	1,800.000	26.876	48,484.62				1,800	51,802.67	North Fork Bankcorporation NY
PUR	09-28-01	279250	3,650.000	29.855	109,189.75				3,650	105,044.30	North Fork Bancorporation
PUR	10-01-01	281050	8,450.000	29.729	251,686.63				8,450	243,184.76	North Fork Bancorporation Inc

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04-23-02                                                              Market Street Trust Company                                                                   PAGE 27
FC3.3                                                           PURCHASE / SALE DETAIL HISTORY REPORT
                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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PUR   10-08-01    281054           2,400.000     26.995     64,931.06                                                   2,400    69,070.23  North Fork Bancorporation Inc
PUR   10-09-01    281059           1,400.000     26.918     37,769.06                                                   1,400    40,290.97  North Fork Bancorporation Inc
                                ------------             ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                     22,900.000               652,127.78           0.00            0.00          0.00     22,900   659,045.08

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      F-L    NFB       North Fork Bancorporation        15,450.000 SHRS     28.779     444,639.59     31.990  12-31-01      732,571.00       287,931.41

F-L   NSC        Norfolk Southern
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      F-L    NSC       Norfolk Southern                  8,200.000 SHRS     24.972     204,771.62             10-31-96                       -204,771.62

F-L   NSM        National Semiconductor Corp
PUR   04-11-01    263033           1,700.000     25.597     43,616.90                                                       0         0.00  National Semiconductor Corp
PUR   04-12-01    263036           2,400.000     26.748     64,338.96                                                       0         0.00  National Semiconductor Corp
PUR   07-31-01    274080           7,700.000     32.468    250,465.60                                                       0         0.00  National Semiconductor Corp
SAL   11-01-01    284558         -11,800.000     26.456                   311,467.11     -358,421.46    -46,954.35                          National Semiconductor Corp
                                ------------             ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                          0.000               358,421.46     311,467.11     -358,421.46    -46,954.35          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      F-L    NSM       National Semiconductor Corp      15,400.000 SHRS     33.538     516,478.56     25.980  10-31-01            0.00      -516,478.56

F-L   NVDA       Nvidia Corp
PUR   11-09-01    284877           3,850.000     52.054    200,408.67                                                   3,850   200,408.67  Nvidia Corp $52.0542
                                ------------             ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                      3,850.000               200,408.67           0.00            0.00          0.00      3,850   200,408.67

F-L   OPWV       Openwave Systems Inc
PUR   04-19-01    263884           7,700.000     38.425    295,870.19                                                       0         0.00  Openwave Systems Inc $38.4247
PUR   05-23-01    267144           6,400.000     42.940    274,817.28                                                       0         0.00  Openwave Systems Inc
SAL   11-09-01    284852          -8,200.000      8.480                    69,533.68     -331,889.16   -262,355.48                          Openwave Systems Inc
SAL   11-12-01    284856          -5,900.000      8.322                    49,098.75     -238,798.31   -189,699.56                          Openwave Systems Inc
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ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                         0.000               570,687.47    118,632.43     -570,687.47   -452,035.04           0          0.00

F-L   PALM      Palm Inc -
PUR   01-12-01    249174         12,100.000     27.391    331,434.73                                                 12,100    331,434.73  Palm Inc @27.3913
PUR   01-16-01    249175          6,300.000     26.550    167,265.00                                                  6,300    167,265.00  Palm Inc @26.55
PUR   07-31-01    274081         21,400.000      5.333    114,136.90                                                 21,400    114,136.90  Palm Inc @5.333
PUR   11-02-01    284610          9,200.000      2.390     21,988.00                                                  9,200     21,988.00  Palm Inc
                             --------------             ------------  ------------ --------------- -------------  ----------  ------------
      TOTAL -                    49,000.000               634,824.63          0.00            0.00          0.00      49,000    634,824.63

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE           COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      F-L .  PALM      Palm Inc                      49,000.000 SHRS       12.956     634,824.63     3.880  12-31-01     190,120.00      -444,704.63

F-L   PDE       Pride International Inc
SAL   11-02-01    284568         -8,600.000     12.242                  104,844.24     -221,966.00   -117,121.76                              Pride International Inc
SAL   12-12-01    287681         -5,700.000     13.353                   75,824.56     -147,117.00    -71,292.44                              Pride International Inc
SAL   12-13-01    287682           -500.000     13.312                    6,630.82      -12,905.00     -6,274.18                              Pride International Inc
SAL   12-14-01    287683         -1,300.000     13.486                   17,465.56      -33,553.00    -16,087.44                              Pride International Inc
                             --------------             ------------  ------------ --------------- -------------  ----------  ------------
      TOTAL -                   -16,100.000                     0.00    204,765.18     -415,541.00   -210,775.82           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE           COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      F-L    PDE       Pride International Inc        3,100.000 SHRS       24.719      76,630.00    15.100  12-31-01      42,280.00       -34,350.00

F-L   PFCB      P F Changs China Bistro Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE           COST     PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      F-L    PFCB      P F Changs China Bistro Inc    4,400.000 SHRS       57.861     254,589.50                                          -254,589.50

F-L   PH        Parker-Hannifin Corp
PUR   05-18-01    267137          1,100.000     49.357     54,358.59                                                  1,100     54,358.59  Parker-Hannifin Corp
PUR   05-21-01    267138            300.000     49.763     14,946.84                                                    300     14,946.84  Parker-Hannifin Corp
PUR   05-22-01    267139            100.000     49.666      4,972.55                                                    100      4,972.55  Parker-Hannifin Corp
PUR   05-23-01    267140            600.000     49.293     29,611.98                                                    600     29,611.98  Parker-Hannifin Corp
PUR   07-02-01    272648          4,200.000     42.692    179,557.56                                                  4,200    179,557.56  Parker-Hannifin Corp @42.6918
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                                                                         Market Street Trust Company
04-23-02                                                             PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION

      TOTAL -                      6,300,000                283,447.52          0.00          0.00          0.00       6,300    283,447.52

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE           COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      F-L    PH        Parker-Hannifin Corp             7,100.000 SHRS     45.277      321,463.52    45.910  12-31-01   289,233.00      -32,230.52

F-L    POT        Potash Corp Saskatchewan Inc
PUR   07-13-01     273037            600.000     62.571     37,578.54                                                    600     37,578.54  Potash Corp Saskatchewan
PUR   07-16-01     273038          1,200.000     62.190     74,700.00                                                  1,200     74,700.00  Potash Corp Saskatchewan
PUR   07-18-01     273430            200.000     61.844     12,380.80                                                    200     12,380.80  Potash Corp Saskatchewan Inc
PUR   07-19-01     273431            700.000     62.887     44,063.18                                                    700     44,063.18  Potash Corp Saskatchewan Inc
PUR   07-25-01     273696            800.000     60.020     48,490.44                                                    800     48,063.92  Potash Corp @60.0199
ICA   08-17-01     275639                                    -426.52                                                                        ADJ BEG BAL-PUR

      TOTAL -                      3,500.000                216,786.44          0.00          0.00          0.00       3,500    216,786.44

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE           COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      F-L    POT       Potash Corp Saskatchewan Inc     3,800.000 SHRS     61.958      235,440.44    61.380  12-31-01   214,830.00      -20,610.44

F-L    PPE        Park Place Entertainment Corp
SAL   03-13-01     257252        -35,000.000      9.941                  346,183.90   -493,937.50   -147,753.60                             Park Place Entertainment Corp

      TOTAL -                    -35,000.000                      0.00   346,183.90   -493,937.50   -147,753.60           0          0.00

F-L    PPL        PPL Corp
SAL   02-02-01     251916         -8,000.000     41.920                  334,868.82   -236,217.15     98,651.67                             PPL Corp

      TOTAL -                     -8,000.000                      0.00   334,868.82   -236,217.15     98,651.67           0          0.00

F-L    PROX       Proxim Inc
PUR   09-24-01     278942         10,900.000     10.631    115,876.81                                                      0          0.00  Proxim Inc
SAL   11-01-01     284564         -1,500.000      6.764                   10,146.11    -15,946.35     -5,800.24                             Proxim Inc
SAL   11-01-01     284565           -200.000      6.774                    1,347.77     -2,126.18       -778.41                             Proxim Inc
SAL   11-05-01     284575         -1,700.000      6.763                   11,495.86    -18,072.53     -6,576.67                             Proxim Inc
SAL   11-06-01     284578         -7,300.000      6.843                   49,699.65    -77,605.57    -27,905.92                             Proxim Inc
SAL   11-07-01     284579           -200.000      6.799                    1,352.77     -2,126.18       -773.41                             Proxim Inc
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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		115,876.81	74,042.16	-115,876.81	-41,834.65	0	0.00	
F-L	QLGC	Qlogic Corp									
PUR	11-09-01	284878	1,400.000	45.785	64,098.72				0	0.00	QLogic Corp @45.7848
SAL	12-21-01	288661	-1,400.000	45.730		64,020.42	-64,098.72	-78.30			QLogic Corp @45.7304
	TOTAL -		0.000		64,098.72	64,020.42	-64,098.72	-78.30	0	0.00	
F-L	RATL	Rational Software Corp									
PUR	04-19-01	263885	5,100.000	25.254	128,793.87				0	0.00	Rational Software Corp
SAL	11-01-01	284559	-5,100.000	13.622		69,469.88	-128,793.87	-59,323.99			Rational Software Corp
	TOTAL -		0.000		128,793.87	69,469.88	-128,793.87	-59,323.99	0	0.00	
F-L	RETK	Retek Inc									
PUR	10-30-01	282656	1,600.000	18.553	29,684.80				1,600	29,684.80	Retek Inc @18.553
PUR	10-31-01	282657	4,800.000	19.977	95,891.04				4,800	95,891.04	Retek Inc @19.977
PUR	11-01-01	284585	2,600.000	20.966	54,511.08				2,600	54,511.08	Retek Inc
PUR	11-02-01	284593	2,000.000	21.925	43,849.20				2,000	43,849.20	Retek Inc
PUR	11-09-01	284871	4,500.000	26.464	119,085.75				4,500	119,085.75	Retek Inc
PUR	11-27-01	285267	700.000	29.476	20,632.92				700	20,632.92	Retek Inc @29.4756
PUR	11-27-01	285718	600.000	29.100	17,460.00				600	17,460.00	Retek Inc @29.10
PUR	11-28-01	285719	700.000	28.866	20,206.41				700	20,206.41	Retek Inc @29.10
PUR	11-29-01	285720	600.000	29.115	17,469.54				600	17,469.54	Retek Inc @29.115
	TOTAL -		18,100.000		418,790.74	0.00	0.00	0.00	18,100	418,790.74	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	RETK	Retek Inc	26,800.000	SHRS	26.336	705,798.95	29.870	12-31-01	540,647.00	-165,151.95

F-L	RIG	Transocean Sedco Forex, Inc.									
SAL	01-12-01	249181	-12,500.000	43.446		542,304.39	-729,556.96	-187,252.57			Transocean Sedco Forex Inc
SAL	01-16-01	249182	-3,500.000	45.743		159,885.51	-204,275.95	-44,390.44			Transocean Sedco Forex Inc
CNVTO	02-05-01	251925	7,350.000	52.870	388,594.50				0	0.00	R&B Falcon Exchange to Trans.
SAL	04-18-01	263877	-11,200.000	47.894		535,717.31	-614,179.81	-78,462.50			Transocean Sedco Forex Inc
SAL	04-18-01	264566	-250.000	47.790		11,938.35	-13,709.37	-1,771.02			Transocean Sedco Forex Inc

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ENTITY INVESTMENT DESCRIPTION                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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      TOTAL -                  -20,100.000              388,594.50  1,249,845.56   -1,561,722.09   -311,876.53           0          0.00

F-L    ROH      ROHM & HAAS Company
PUR   08-24-01    276236           750.000     35.756    26,862.08                                                       0          0.00 ROHM & HAAS Co @35.7561
PUR   08-27-01    276237         1,300.000     36.153    47,077.03                                                       0          0.00 ROHM & HAAS Co @36.1531
PUR   08-28-01    276336         1,600.000     35.364    56,678.24                                                       0          0.00 Rohm & Haas Co @35.3639
PUR   08-29-01    276433           900.000     35.285    31,810.86                                                       0          0.00 Rohm & Haas Co @35.2854
SAL   11-01-01    284560        -4,550.000     32.510                   147,643.02     -162,428.21    -14,785.19                         Rohm & Haas Company
                                ----------              ----------   -----------   -------------   -----------   ---------    ----------
      TOTAL -                        0.000              162,428.21    147,643.02     -162,428.21    -14,785.19           0          0.00

F-L    RTN      Raytheon Company
PUR   10-25-01    282520         2,250.000     33.250    74,812.50                                                   2,250     74,812.50 Raytheon Company @33.25
PUR   11-01-01    284587        10,000.000     33.138   331,980.00                                                  10,000    331,980.00 Raytheon Company
PUR   11-02-01    284616         3,200.000     34.189   109,595.52                                                   3,200    109,595.52 Raytheon Co
                                ----------              ----------   -----------   -------------   -----------   ---------    ----------
      TOTAL -                   15,450.000              516,388.02          0.00            0.00          0.00      15,450    516,388.02

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      F-L    RTN        Raytheon Company              19,550.000 SHRS      34.316      670,877.34      32.470 12-31-01      501,661.50      -169,215.84

F-L    SBL      Symbol Technologies Inc
SPIDV 04-17-01    263046        25,987.000                    0.00                                                       0          0.00 Symbol Tech. 3 for 2 split
SAL   11-01-01    284561          -800.000     12.750                    10,159.66      -18,824.43     -8,664.77                         Symbol Technologies Inc
SAL   11-02-01    284572       -15,300.000     12.900                   196,598.42     -360,017.30   -163,418.88                         Symbol Technologies Inc
                                ----------              ----------   -----------   -------------   -----------   ---------    ----------
      TOTAL -                    9,887.000                    0.00    206,758.08     -378,841.73   -172,083.65           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      F-L    SBL        Symbol Technologies Inc       11,162.000 SHRS      23.187      258,809.61      15.880 12-31-01      982,368.56       723,558.95

F-L    SDS      Sungard Data Systems Inc
PUR   07-31-01    274082         8,800.000     27.754   244,768.48                                                       0          0.00 Sungard Data Systems Inc
SAL   11-01-01    284566        -4,300.000     24.894                   106,782.63     -119,602.78    -12,820.15                         Sunguard Data Systems Inc
SAL   11-02-01    284569        -3,200.000     24.905                    79,500.70      -89,006.72     -9,506.02                         Sungard Data Systems Inc
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ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION

SAL   11-05-01   284576       -1,300,000     25.231                   32,721.46     -36,158.98     -3,437.52                             Sungard Data Systems Inc

      TOTAL -                      0.000                244,768.48   219,004.79    -244,768.48    -25,763.69           0         0.00

F-L    SIAL      Sigma Aldrich Corp
PUR   02-09-01   251908           400.000     41.398     16,559.08                                                    0         0.00 Sigma Aldrich Corp
SAL   03-23-01   267161        -1,000.000     48.350                   48,348.38     -36,447.09     11,901.29                             Sigma Aldrich Corp
SAL   05-24-01   267162        -3,300.000     47.149                  155,585.52    -120,275.39     35,310.13                             Sigma Aldrich Corp
SAL   05-25-01   267163        -3,200.000     47.092                  150,688.09    -116,630.67     34,057.42                             Sigma Aldrich Corp

      TOTAL -                  -7,100.000                16,559.08   354,621.99    -273,353.15     81,268.84           0         0.00

F-L    SIVB      Silicon Valley Bancshares
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE           COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      F-L    SIVB      Silicon Valley Bancshares     12,700.000 SHRS      30.932     392,840.78     26.730  12-31-01          0.00     -392,840.78

F-L    SMTC      Semtech Corp
PUR   12-28-01   288807        12,700.000     37.100    471,170.00                                                12,700   471,170.00 Semtech Corp @37.10
PUR   12-31-01   288931           900.000     36.837     33,153.21                                                   900    33,153.21 Semtech Corp @36.8369

      TOTAL -                  13,600.000               504,323.21         0.00           0.00          0.00      13,600   504,323.21

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE           COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      F-L    SMTC      Semtech Corp                  13,900.000 SHRS      37.162     516,557.21     35.690  12-31-01    485,384.00      -31,173.21

F-L    SNDK      Sandisk Corp
SAL   01-25-01   249875        -1,100.000     32.270                   35,495.48     -50,244.11    -14,748.63                             Sandisk Corp @32.2697

      TOTAL -                  -1,100.000                     0.00    35,495.48     -50,244.11    -14,748.63           0         0.00

F-L    SOTR      Southtrust Corp
PUR   02-01-01   251900         3,000.000     43.903    131,710.20                                                 6,000   111,324.08 Southtrust Corp
SPLDV 05-14-01   266351        17,900.000                     0.00                                                     0         0.00 Southtrust Corp 2 for 1 split
SAL   08-09-01   275652       -15,100.000     25.190                  380,356.32    -259,924.66    120,431.66                             Southtrust Corp @25.19
PUR   09-28-01   279251         1,600.000     25.098     40,156.80                                                 1,600    29,686.42 SouthTrust Corp
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
PUR	10-08-01	281056	2,500.000	23.100	57,750.00				2,500	46,385.03	Southtrust Corp
PUR	10-09-01	281061	1,200.000	23.481	28,176.96				1,200	22,264.81	Southtrust Corp
SAL	10-19-01	282193	-8,400.000	22.003		184,819.03	-155,853.71	28,965.32			Southtrust Corp @22.003
SAL	10-22-01	282194	-5,000.000	22.171		110,850.80	-92,770.06	18,080.74			Southtrust Corp @22.1709
	TOTAL -		-2,300.000		257,793.96	676,026.15	-508,548.43	167,477.72	11,300	209,660.34	
F-L	SPOT	Panamsat Corp									
SAL	04-09-01	263039	-3,300.000	34.769		114,734.86	-96,525.00	18,209.86			Panamsat Corp @34.7693
SAL	04-10-01	263040	-6,800.000	35.150		239,012.03	-198,900.00	40,112.03			Panamsat Corp @35.15
SAL	04-11-01	263041	-7,000.000	32.875		230,117.32	-204,750.00	25,367.32			Panamsat Corp @32.875
SAL	04-12-01	263042	-1,300.000	33.018		42,921.31	-38,025.00	4,896.31			Panamsat Corp @33.0175
	TOTAL -		-18,400.000		0.00	626,785.52	-538,200.00	88,585.52	0	0.00	
F-L	SRM	Sensormatic Electronics Corp									
PUR	02-22-01	252325	11,900.000	22.250	265,370.00				0	0.00	Sensormatic Electronics Corp
SAL	04-11-01	263044	-1,100.000	13.011		14,256.84	-24,530.00	-10,273.16			Sensormatic Electronics Corp
SAL	04-12-01	263045	-10,800.000	12.497		134,426.34	-240,840.00	-106,413.66			Sensormatic Electronics Corp
	TOTAL -		0.000		265,370.00	148,683.18	-265,370.00	-116,686.82	0	0.00	
F-L	SSCC	Smurfit-Stone Container Corp									
PUR	06-29-01	271058	2,700.000	15.530	41,931.00				2,700	41,931.00	Smurfit-Stone Container Corp
PUR	07-09-01	272655	10,000.000	16.105	161,050.00				10,000	161,050.00	Smurfit-Stone Container Corp
PUR	10-16-01	281666	1,400.000	14.055	19,676.72				1,400	19,676.72	Smurfit-Stone Container Corp
PUR	10-16-01	281667	300.000	13.920	4,176.00				300	4,176.00	Smurfit-Stone Container Corp
PUR	11-02-01	284594	1,400.000	15.120	21,168.00				1,400	21,168.00	Smurfit Stone Container Corp
	TOTAL -		15,800.000		248,001.72	0.00	0.00	0.00	15,800	248,001.72	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
F-L	SSCC	Smurfit-Stone Container Corp	64,800.000	SHRS	14.839	961,578.22	15.970	12-31-01	854,395.00	-107,183.22

F-L	STE	Steris Corp

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ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING    REMAINING
TYPE  TXN DATE  TXN NUMBER          QUANTITY     PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE     MARKET VALUE   UNREALIZED G/L
      F-L    STE       Steris Corp                        12,950.000 SHRS      20.797    269,321.38                                     -269,321.38

F-L    TCB       TCF Financial Corp
PUR   09-28-01    279252          1,700.000    45.784    77,936.33                                                   1,700    80,085.03 TCF Financial Corp
PUR   10-01-01    281052          2,550.000    45.600   116,433.00                                                   2,550   120,127.55 TCF Financial Corp
PUR   11-02-01    284611            500.000    42.150    21,090.00                                                     500    23,554.42 TCF Financial Corp

      TOTAL -                     4,750.000             215,459.33        0.00          0.00          0.00           4,750   223,767.00

F-L    TERN      Terayon Communication Systems
PUR   02-15-01    252322         12,400.000     7.259    90,005.40                                                  12,400    79,570.65 Terayon Communication Systems
PUR   02-22-01    252323         10,800.000     5.990    64,692.00                                                  10,800    69,303.48 Terayon Communication Systems
PUR   02-23-01    252324            400.000     5.875     2,350.00                                                     400     2,566.80 Terayon Communication Systems
PUR   06-29-01    271059         14,300.000     5.065    72,433.79                                                  14,300    91,762.93 Terayon Communications Systems
PUR   11-02-01    284612          1,900.000    10.900    20,710.00                                                   1,900    12,192.28 Terayon Communication Systems

      TOTAL -                    39,800.000             250,191.19        0.00          0.00          0.00          39,800   255,396.14

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE     MARKET VALUE   UNREALIZED G/L
      F-L    TERN      Terayon Communication Systems      29,300.000 SHRS       6.417    188,017.74      8.271 12-31-01   329,185.80      141,168.06

F-L    THC       Tenet Healthcare Corp
SAL   04-04-01    263038         -8,800.000    44.726                393,043.28    -305,993.56     87,049.72                              Tenet Healthcare Corp @44.7255
PUR   11-02-01    284595            800.000    57.000    45,624.00                                                     800    30,143.06 Tenet Healthcare Corp

      TOTAL -                    -8,000.000              45,624.00  393,043.28    -305,993.56     87,049.72             800    30,143.06

F-L    TIBX      Tibco Software Inc
PUR   11-29-01    285722          2,900.000    11.805    34,237.11                                                   2,900    34,237.11 Tibco Software Inc
PUR   12-03-01    287198          1,200.000    12.103    14,565.36                                                   1,200    14,565.36 Tibco Software Inc @12.1028

      TOTAL -                     4,100.000              48,802.47        0.00          0.00          0.00           4,100    48,802.47
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                                                              Market Street Trust Company
04-23-02                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                                         PAGE 35
FC3.3                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY  COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      F-L     TIBX       Tibco Software Inc                20,000.000 SHRS      12.724       254,489.19     14.930 12-31-01      61,213.00     -193,276.19

F-L    UHS        Universal Health Services
PUR   07-05-01      272649        4,700.000     43.892    206,573.46                                                 4,700  213,447.95 Universal Health Services - B
PUR   07-06-01      272650        3,700.000     45.346    168,000.72                                                 3,700  168,033.50 Universal Health Services - B
PUR   09-27-01      279154        3,800.000     48.790    185,630.00                                                 3,800  172,574.94 Universal Health Services Inc
PUR   11-02-01      284613          500.000     40.250     20,155.00                                                   500   22,707.23 Universal Health Services
                              -------------             ------------ ------------- --------------- -------------  ---------  ----------
      TOTAL -                    12,700.000               580,359.18         0.00            0.00          0.00     12,700  576,763.62

F-L    UNT        Unit Corp
PUR   02-28-01      255264       21,400.000     18.250    390,764.00                                                21,400  390,764.00 Unit Corp @18.25
PUR   06-01-01      268823       44,700.000     21.846    978,742.26                                                44,700  978,742.26 Unit Corp @21.8458
PUR   11-02-01      284596       13,700.000     10.899    150,001.30                                                13,700  150,001.30 Unit Corp
                              -------------             ------------ ------------- --------------- -------------  ---------  ----------
      TOTAL -                    79,800.000             1,519,507.56         0.00            0.00          0.00     79,800 1,519,507.56

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      F-L     UNT        Unit Corp                         84,100.000 SHRS      18.709     1,573,386.56     12.900 12-31-01   1,029,420.00     -543,966.56

F-L    VIGN       Vignette Corp
PUR   11-01-01      284586       16,000.000      4.786     76,580.80                                                16,000   76,829.17 Vignette Corp
PUR   11-02-01      284597        2,400.000      4.687     11,249.52                                                 2,400   11,524.37 Vignette Corp
PUR   11-02-01      284617        3,400.000      4.736     16,103.42                                                 3,400   16,326.20 Vignette Corp
                              -------------             ------------ ------------- --------------- -------------  ---------  ----------
      TOTAL -                    21,800.000               103,933.74         0.00            0.00          0.00     21,800  104,679.74

F-L    VPI        Vintage Petroleum Inc
PUR   05-31-01      267496       33,100.000     21.689    719,564.21                                                     0        0.00 Vintage Petroleum Inc @21.6891
SAL   06-22-01      270560       -1,300.000     18.450                  23,919.20      -28,260.83     -4,341.63                         Vintage Petroleum Inc @18.45
SAL   06-25-01      270541       -1,600.000     19.146                  30,552.25      -34,782.56     -4,230.31                         Vintage Petroleum Inc @19.1458
SAL   06-28-01      271061       -1,800.000     18.414                  33,054.45      -39,130.38     -6,075.93                         Vintage Petroleum Inc
SAL   06-29-01      271066       -4,000.000     18.603                  74,213.11      -86,956.40    -12,743.29                         Vintage Petroleum Inc
SAL   07-03-01      272658       -2,900.000     18.101        [illegible]2,346.44      -63,043.39    -10,696.95                         Vintage Petroleum Inc
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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	08-09-01	273653	-1,000.000	17.756		17,705.70	-21,739.10	-4,033.40			Vintage Petroleum @17.7563
SAL	08-16-01	275919	-1,600.000	18.560		29,615.01	-34,782.56	-5,167.55			Vintage Petroleum Inc
SAL	09-24-01	278945	-6,300.000	16.115		101,208.63	-136,956.33	-35,747.70			Vintage Petroleum Inc
SAL	09-24-01	278946	-3,600.000	16.115		57,833.50	-78,260.76	-20,427.26			Vintage Petroleum Inc
SAL	09-24-01	278947	-4,500.000	15.750		70,647.63	-97,825.95	-27,178.32			Vintage Petroleum Inc
SAL	09-24-01	278948	-4,500.000	15.750		70,647.63	-97,825.95	-27,178.32			Vintage Petroleum Inc
	TOTAL -		0.000		719,564.21	561,743.55	-719,564.21	-157,820.66	0	0.00	
F-L	VRSN	Verisign Inc									
PUR	04-19-01	263886	5,200.000	49.243	256,064.64				0	0.00	Verisign Inc @49.2432
PUR	07-02-01	272641	1,200.000	61.891	74,269.44				0	0.00	Verisign Inc @61.8912
PUR	07-10-01	272642	4,500.000	54.848	246,816.45				0	0.00	Verisign Inc @54.8481
PUR	10-26-01	282321	2,550.000	44.465	113,385.75				0	0.00	Versign Inc @44.465
SAL	12-31-01	288933	-2,450.000	38.144		93,389.91	-125,785.42	-32,395.51			Verisign Inc @38.1439
SAL	12-31-01	288934	-11,000.000	38.250		420,742.58	-564,750.86	-144,008.28			Verisign Inc @38.2499
	TOTAL -		0.000		690,536.28	514,132.49	-690,536.28	-176,403.79	0	0.00	
F-L	VRTA	Virata Corp									
PUR	07-02-01	272643	2,500.000	11.958	29,894.00				0	0.00	Virata Corp @11.9576
PUR	07-03-01	272644	1,500.000	11.750	17,625.30				0	0.00	Virata Corp @11.7502
CNVFR	12-19-01	287659	-4,000.000	13.210		47,519.30	-47,519.30	0.00			Virata exchange to Globespan
	TOTAL -		0.000		47,519.30	47,519.30	-47,519.30	0.00	0	0.00	
F-L	VRTS	Veritas Software Corp									
PUR	09-24-01	278943	6,800.000	21.012	142,879.56				6,800	142,879.56	Veritas Software
PUR	11-01-01	284580	5,000.000	30.136	150,681.50				5,000	150,681.50	Veritas Software Company
PUR	11-02-01	284614	650.000	30.730	19,974.50				650	19,974.50	Veritas Software Co
PUR	11-27-01	285265	2,750.000	41.763	114,848.25				2,750	114,848.25	Veritas Software Co @41.763
PUR	11-29-01	285723	2,400.000	40.438	97,051.68				2,400	97,051.68	Veritas Software Co
	TOTAL -		17,600.000		525,435.49	0.00	0.00	0.00	17,600	525,435.49	

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04-23-02                                                     Market Street Trust Company
FC3.3                                                   PURCHASE / SALE DETAIL HISTORY REPORT
                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION
TYPE TXN DATE TXN NUMBER          QUANTITY      PRICE  COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  REMAINING   REMAINING
                                                                                                               QUANTITY  COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE           COST    PRICE   DATE  MARKET VALUE  UNREALIZED G/L
     F-L   VRTS    Veritas Software Corp         18,200.000 SHRS       30.236     550,293.49   44.830 12-31-01    789,008.00      238,714.51

F-L  WEN       Wendys International Inc
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE           COST    PRICE   DATE  MARKET VALUE  UNREALIZED G/L
     F-L   WEN      Wendys International Inc      3,300.000 SHRS       32.053     105,774.40   29.170 12-31-01          0.00     -105,774.40

F-L  WPI       Watson Pharmaceuticals
SAL  03-30-01  260713         -3,400.000     52.489               178,253.33     -219,533.24    -41,279.91
PUR  11-02-01  284598            500.000     48.039   24,034.65                                                                 Watson Pharmaceuticals Inc
SAL  11-13-01  284860         -6,800.000     31.586               214,371.00     -431,381.87   -217,010.87          0        0.00 Watson pharmaceutical Inc
SAL  11-13-01  284860           -500.000     31.586                15,762.57      -31,719.26    -15,956.69                      Watson Pharmaceuticals Inc
                            ------------              ----------- ------------- --------------- ------------- ---------- -----------  Watson Pharmaceuticals Inc
     TOTAL -                 -10,200.000              24,034.65   408,386.90     -682,634.37   -274,247.47          0        0.00

F-L  WWCA      Western Wireless Corp CL A
PUR  04-19-01  263887          1,100.000     44.120   48,532.33
PUR  04-20-01  263889          3,700.000     44.725  165,482.13                                                      0        0.00 Western Wireless Corp CL A
PUR  04-23-01  263890          1,200.000     44.202   53,042.40                                                      0        0.00 Western Wireless Corp CL A
PUR  11-02-01  284599            300.000     29.700    8,910.00                                                      0        0.00 Western Wireless Corp CL A
SAL  11-09-01  284853         -6,300.000     26.629               167,753.95     -275,966.86   -108,212.91          0        0.00 Western Wireless Corp Cl e
                            ------------              ----------- ------------- --------------- ------------- ---------- -----------  Western Wireless Corp Cl A
     TOTAL -                       0.000             275,966.86   167,753.95     -275,966.86   -108,212.91          0        0.00

F-L  WY        Weyerhaeuser Company
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE           COST    PRICE   DATE  MARKET VALUE  UNREALIZED G/L
     F-L   WY        Weyerhaeuser Company         6,100.000 SHRS       65.043     396,763.80                                     -396,763.80

F-L  YUM       Tricon Global Restaurants
SAL  02-23-01  252346         -1,000.000     36.829                36,768.17      -33,164.60      3,603.57                      Tricon Global Restaurants
                            ------------              ----------- ------------- --------------- ------------- ---------- -----------
     TOTAL -                  -1,000.000                   0.00    36,768.17      -33,164.60      3,603.57          0        0.00

OAKASS ADVS    Advent Software Inc
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                                                                   Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                    PAGE 38
FC3.3                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      OAKASS ADVS       Advent Software Inc            5,600,000 SHRS       54.408       304,684.24                                           -304,684.24

OAKASS AIG        American International Group
SAL   03-15-01     257261       -12,000.000       78.500                  941,368.60   -1,127,850.00   -186,481.40                          American Int'l Group
PUR   05-01-01     266365         6,100.000       83.380    508,980.95                                                      6,100   508,980.95  American International Group
                             -------------               ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                    -5,900.000                 508,980.95    941,368.60   -1,127,850.00   -186,481.40      6,100   508,980.95

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      OAKASS AIG        American International Group   5,400.000 SHRS       83.440       450,573.30     79.400  12-31-01     484,340.00      33,766.70

OAKASS AKAM       Akamai Technologies Inc
SAL   03-15-01     257260       -25,500.000       10.249                  261,335.68   -1,117,749.15   -856,413.47                          Akamai Technologies Inc
                             -------------               ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                   -25,500.000                       0.00    261,335.68   -1,117,749.15   -856,413.47          0         0.00

OAKASS AMAT       Applied Materials Inc
SAL   03-15-01     257262       -22,500.000       48.188                1,084,182.60   -1,199,376.00   -115,193.40                          Applied Materials Inc
PUR   04-27-01     264558         7,400.000       53.050    392,570.00                                                      7,400   392,570.00  Applied Materials Inc @53.05
PUR   10-03-01     280852         3,100.000       29.220     90,582.00                                                      3,100    90,582.00  Applied Materials Inc
                             -------------               ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                   -12,000.000                 483,152.00  1,084,182.60   -1,199,376.00   -115,193.40     10,500   483,152.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      OAKASS AMAT       Applied Materials Inc         21,000.000 SHRS       23.007       483,152.00     40.100  12-31-01     421,050.00     -62,102.00

OAKASS ATML       Atmel Corp.
SAL   03-15-01     257263       -84,000.000       10.728                  901,096.76   -1,193,934.00   -292,837.24                          Atmel Corp
                             -------------               ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                   -84,000.000                       0.00    901,096.76   -1,193,934.00   -292,837.24          0         0.00

OAKASS BRCD       Brocade Communications Systems
SAL   03-15-01     257272       -11,200.000       30.000                  335,988.80   -1,192,800.00   -856,811.20                          Brocade Communications Systems
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                                                               Market Street Trust Company                                          PAGE 39
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT
PC3.3                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01
                                                                                                   REMAINING     REMAINING
ENTITY INVESTMENT DESCRIPTION
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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PUR   03-01-01     266364      12,000.000     42.060     504,720.00                                                  12,000    504,720.00 Brocade Communications Systems
PUR   10-03-01     280849       8,000.000     15.790     126,320.00                                                   8,000    126,320.00 Brocade Communications Systems
                              -------------             ------------- ------------- --------------- -------------  ---------  ------------
      TOTAL -                   8,800.000                631,040.00    335,988.80    -1,192,800.00   -856,811.20      20,000    631,040.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE          COST      PRICE     DATE      MARKET VALUE  UNREALIZED G/L
      OAKASS BRCO    Brocade Communications Systems  20,000.000 SHRS      31.552     631,040.00     33.120  12-31-01     662,400.00       31,360.00

OAKASS C2          Citigroup Inc
PUR   05-02-01     266369      10,500.000     50.700     532,875.00                                                  10,500    532,875.00 Citigroup Inc
                              -------------             ------------- ------------- --------------- -------------  ---------  ------------
      TOTAL -                  10,500.000                532,875.00          0.00            0.00          0.00      10,500    532,875.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE          COST      PRICE     DATE      MARKET VALUE  UNREALIZED G/L
      OAKASS C2          Citigroup Inc               10,500.000 SHRS      50.750     532,875.00     50.480  12-31-01     530,040.00       -2,835.00

OAKASS CPLO        Cacheflow Inc
SAL   03-15-01     257264     -20,600.000      4.844                   99,783.07   -1,723,812.50 -1,624,029.43                           Cacheflow Inc
                              -------------             ------------- ------------- --------------- -------------  ---------  ------------
      TOTAL -                 -20,600.000                      0.00     99,783.07   -1,723,812.50 -1,624,029.43           0          0.00

OAKASS CIEN        Ciena Corp
PUR   06-02-01     266368       9,000.000     59.830     538,650.00                                                   9,000    538,650.00 Ciena Corp
PUR   11-05-01     284122       4,100.000     16.620      68,142.00                                                   4,100     68,142.00 Ciena Corp @16.62
                              -------------             ------------- ------------- --------------- -------------  ---------  ------------
      TOTAL -                  13,100.000                606,792.00          0.00            0.00          0.00      13,100    606,792.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE          COST      PRICE     DATE      MARKET VALUE  UNREALIZED G/L
      OAKASS CIEN        Ciena Corp                  13,100.000 SHRS      46.320     606,792.00     14.310  12-31-01     187,461.00     -419,331.00

OAKASS CSCO        Cisco Systems Inc
PUR   02-02-01     251853       2,000.000     36.125      72,250.00                                                       0          0.00 Cisco Systems Inc @36.125
SAL   03-15-01     257273     -23,000.000     20.938                  481,546.44   -1,283,687.50   -802,141.06                            Cisco Systems Inc
PUR   04-30-01     264561      30,000.000     16.900     507,000.00                                                  30,000    507,000.00 Cisco Systems Inc @16.90
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                                                            Market Street Trust Company                                                     PAGE 40
04-23-02                                                PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                   REMAINING     REMAINING
ENTITY INVESTMENT DESCRIPTION                                                                                                
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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      TOTAL -                  9,000.000               579,250.00    481,546.44   -1,283,687.50   -802,141.06     30,000    507,000.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE           COST     PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      OAKASS CSCO     Cisco Systems Inc             30,000.000 SHRS       16.900     507,000.00    18.110  12-31-01    543,300.00       36,300.00

OAKASS DIGX     Digex Inc
SAL   03-15-01   257265      -29,000.000     13.293                  385,487.05   -1,116,500.00   -731,012.95                          Digex Inc
                             ------------            ------------  ------------   -------------   -----------  ----------  ------------
      TOTAL -                -29,000.000                     0.00    385,487.05   -1,116,500.00   -731,012.95          0          0.00

OAKASS EMC      EMC Corp                                                                                                               CONVERSION
CNVFR 02-13-01   252469            0.000     75.990                   28,534.82      -28,534.82          0.00                          EMC Corp MASS
SAL   03-15-01   257259      -14,700.000     36.019                  528,579.65   -1,274,425.24   -745,845.59
PUR   04-27-01   264559       10,000.000     38.189    382,390.00                                                 10,000    382,390.00 E M C Corp Mass @38.189
PUR   06-01-01   268722        2,500.000     31.200     78,125.00                                                  2,500     78,125.00 E M C Corp @31.20
PUR   10-03-01   280853       12,500.000     11.558    145,100.00                                                 12,500    145,100.00 E M C Corp Mass
                             ------------            ------------  ------------   -------------   -----------  ----------  ------------
      TOTAL -                 10,300.000               605,615.00    557,114.47   -1,302,960.06   -745,845.59     25,000    605,615.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE           COST     PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      OAKASS EMC      EMC Corp                      26,900.000 SHRS       23.527     632,880.00    13.440  12-31-01    336,000.00     -296,880.00

OAKASS FDRY     Foundry Networks Inc
SAL   03-15-01   257266      -20,000.000     10.563                  211,242.95   -1,171,250.00   -960,007.05                          Foundry Networks Inc
                             ------------            ------------  ------------   -------------   -----------  ----------  ------------
      TOTAL -                -20,000.000                     0.00    211,242.95   -1,171,250.00   -960,007.05          0          0.00

OAKASS JDSU     JDS Uniphase Corp                                                                                                      JDS Uniphase Corp
SAL   03-15-01   257274      -17,200.000     25.438                  437,510.41   -1,433,387.50   -995,877.09
PUR   04-30-01   264562       23,000.000     21.150    486,450.00                                                 23,000    486,450.00 JDS Uniphase Corp 21.15
PUR   11-05-01   284123        8,500.000      9.000     76,500.00                                                  8,500     76,500.00 JDS Uniphase Corp @9.00
                             ------------            ------------  ------------   -------------   -----------  ----------  ------------
      TOTAL -                 14,300.000               562,950.00    437,510.41   -1,433,387.50   -995,877.09     31,500    562,950.00
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                                                                     Market Street Trust Company
04-23-02                                                          PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                             BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                       QUANTITY UOM       AVERAGE            COST       PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      OAKASS JDSU       JDS Uniphase Corp                              31,500.000 SHRS      17.871      562,950.00       8.680  12-31-01    273,420.00      -289,530.00

OAKASS JNPR       Juniper Networks Inc
SAL   03-15-01     257275           -5,900.000      59.375                   350,300.82   -1,197,700.00   -847,399.18                              Juniper Networks Inc
PUR   04-27-01     264560            7,400.000      54.010    399,674.00                                                    7,400    399,674.00   Juniper Networks Inc @54.01
PUR   06-01-01     268723            1,700.000      43.000     73,100.00                                                    1,700     73,100.00   Juniper Networks Inc @43.00
PUR   11-05-01     284126            2,500.000      22.060     55,150.00                                                    2,500     55,150.00   Juniper Networks @22.06
PUR   12-04-01     287165              300.000      25.080      7,524.00                                                      300      7,524.00   Juniper Networks @25.08
                                  -------------              ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                        6,000.000                535,448.00    350,300.82   -1,197,700.00   -847,390.18       11,900    535,448.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                       QUANTITY UOM       AVERAGE            COST       PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      OAKASS JNPR       Juniper Networks Inc                           15,900.000 SHRS      37.117      590,168.00      18.950  12-31-01    225,505.00      -364,663.00

OAKASS JPMSWEEP   J P Morgan Money Market Sweep
SAL   01-18-01     249130             -250.010       1.000                       250.01         -250.01          0.00                              Prime Money Market Sweep Fund
PUR   02-01-01     251852          218,400.000       1.000    218,400.00                                                        0          0.00   Prime Money Market Sweep Fund
SAL   02-07-01     251855         -130,691.500       1.000                   130,691.50     -130,691.50          0.00                              Prime Money Market Sweep Fund
SAL   02-08-01     251856          -72,250.000       1.000                    72,250.00      -72,250.00          0.00                              Prime Money Market Sweep Fund
PUR   03-01-01     256201                1.490       1.000          1.49                                                        0          0.00   Prime Money Market Sweep Fund
SAL   03-15-01     256202          -77,674.130       1.000                    77,674.13      -77,674.13          0.00                              Prime Money Market Sweep Fund
PUR   03-20-01     257237          414,181.100       1.000    414,181.10                                                        0          0.00   Prime Money Market Sweep Fund
SAL   03-22-01     257258             -100.000       1.000                       100.00         -100.00          0.00                              Prime Money Market Sweep Fund
SAL   04-18-01     262791             -900.040       1.000                       900.04         -900.06          0.00                              Prime Money Market Sweep Fund
PUR   04-27-01     264200        8,488,453.860       1.000  8,488,453.86                                                        0          0.00   Prime Money Market Sweep Fund
SAL   05-02-01     266359       -1,174,634.000       1.000                 1,174,634.00   -1,174,634.00          0.00                              Prime Money Market Sweep Fund
SAL   05-03-01     266360       -2,431,760.000       1.000                 2,431,760.00   -2,431,760.00          0.00                              Prime Money Market Sweep Fund
SAL   05-04-01     266361       -3,046,481.470       1.000                 3,046,481.47   -3,046,481.47          0.00                              Prime Money Market Sweep Fund
SAL   05-07-01     266362       -1,574,925.000       1.000                 1,574,925.00   -1,574,925.00          0.00                              Prime Money Market Sweep Fund
SAL   05-08-01     266363         -520,050.000       1.000                   520,050.00     -520,050.00          0.00                              Prime Money Market Sweep Fund
PUR   06-01-01     268721          153,100.000       1.000    153,100.00                                                        0          0.00   Prime Money Market Sweep Fund
SAL   06-06-01     268724         -151,225.000       1.000                   151,225.00     -151,225.00          0.00                              Prime Money Market Sweep Fund
SAL   06-20-01     269680             -900.040       1.000                       900.04         -900.04          0.00                              Prime Money Market Sweep Fund
PUR   07-03-01     272585           13,300.000       1.000     13,300.00                                                        0          0.00   Prime MM Sweep fund
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	07-18-01	273022	-100.000	1.000		100.00	-100.00	0.00			Prime MM Sweep Fund
PUR	10-03-01	280848	476,525.000	1.000	476,525.00				0	0.00	Prime MM Sweep fund
SAL	10-09-01	280854	-488,777.000	1.000		488,777.00	-488,777.00	0.00			Prime MM Sweep Fund
PUR	11-02-01	284121	297,999.000	1.000	297,999.00				0	0.00	Prime MM Sweep Fund
SAL	11-07-01	284127	-9,376.200	1.000		9,376.20	-9,376.20	0.00			Prime MM Sweep Fund
SAL	11-08-01	284128	-144,642.000	1.000		144,642.00	-144,642.00	0.00			Prime MM Sweep Fund
SAL	11-09-01	284129	-155,704.000	1.000		155,704.00	-155,704.00	0.00			Prime MM Sweep Fund
SAL	11-19-01	284805	-200.010	1.000		200.01	-200.01	0.00			Prime MM Sweep Fund
PUR	12-03-01	287162	420,812.000	1.000	420,812.00				127,294	127,294.19	Prime MM Sweep Fund
SAL	12-07-01	287167	-17,304.000	1.000		17,304.00	-17,304.00	0.00			Prime MM Sweep fund
SAL	12-10-01	287168	-419,748.000	1.000		419,748.00	-419,748.00	0.00			Prime MM Sweep Fund
SAL	12-12-01	287169	-250.010	1.000		250.01	-250.01	0.00			Prime MM Sweep fund
PUR	12-13-01	287163	3,125.400	1.000	3,125.40				3,125	3,125.40	Prime MM Sweep fund
PUR	12-21-01	288179	17,304.000	1.000	17,304.00				17,304	17,304.00	Prime MM Sweep Fund
	TOTAL -		85,259.440		10,503,201.85	10,417,942.41	-10,417,942.41	0.00	147,724	147,723.59	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OAKASS JPASWEEP	J P Morgan Money Market Sweep	229,987.780 UNTS	1.000	229,987.78	1.000	12-31-01	147,723.59	-82,264.19

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OAKASS	LLTC	Linear Technology Corp									
PUR	04-30-01	264563	10,000.000	48.320	483,200.00				10,000	483,200.00	Linear Technology Corp 848.32
	TOTAL -		10,000.000		483,200.00	0.00	0.00	0.00	10,000	483,200.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OAKASS LLTC	Linear Technology Corp	10,000.000 SHRS	48.320	483,200.00	39.040	12-31-01	390,400.00	-92,800.00

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OAKASS	LLY	Eli Lilly & Co									
PUR	05-01-01	266366	6,000.000	85.079	510,831.00				6,000	510,831.00	Eli Lilly & Co.
	TOTAL -		6,000.000		510,831.00	0.00	0.00	0.00	6,000	510,831.00	

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                                                                  Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                             REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY     PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST       PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      OAKASS LLY       Eli Lilly & Co                   6,000.000 SHRS        85.139      510,831.00      78.540  12-31-01    471,240.00      -39,591.00

OAKASS MCDTA    McData Corp
CNVTO 02-13-01  252469.1                497.000    53.809    26,742.94                                                         0         0.00 CONVERSION
CNVTO 02-13-01  252469.2                 44.000    40.725     1,791.88                                                         0         0.00 CONVERSION
SAL   03-15-01    257267               -541.000    17.813                    9,636.23      -28,534.82    -18,898.59                         McData Corp
                                 --------------           ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                             0.000                28,534.82     9,636.23      -28,534.82    -18,898.59            0         0.00

OAKASS MDT      Medtronic Inc
PUR   05-01-01    266367             11,000.000    46.000   506,660.00                                                    11,000   506,660.00 Medtronic Inc
                                 --------------           ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                        11,000.000               506,660.00         0.00            0.00          0.00       11,000   506,660.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST       PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      OAKASS MDT       Medtronic Inc                   11,000.000 SHRS        46.060      506,660.00      51.210  12-31-01    563,310.00       56,650.00

OAKASS MSFT     Microsoft
PUR   12-04-01    287166              6,000.000    65.820   394,920.00                                                     6,000   394,920.00 Microsoft Corp 865.82
                                 --------------           ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                         6,000.000               394,920.00         0.00            0.00          0.00        6,000   394,920.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST       PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      OAKASS MSFT      Microsoft                        6,500.000 SHRS        65.441      425,369.00      66.250  12-31-01    397,500.00      -27,865.00

OAKASS MWD      Morgan Stanley Dean Witter& Co
SAL   03-15-01    257268            -13,000.000    58.920                  765,284.46   -1,185,199.60   -419,915.14                         Morgan Stanley Dean Witter
                                 --------------           ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                       -13,000.000                     0.00   765,284.46   -1,185,199.60   -419,915.14            0         0.00

OAKASS MXIM     Maxim Integrated Products Inc
SAL   03-15-01    257276            -14,900.000    48.625                  724,488.34   -1,129,273.47   -404,787.13                         Maxim Integrated Products
PUR   04-30-01    264564              9,500.000    50.580   480,510.00                                                     9,500   480,510.00 Maxim Integrated Products Inc
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                                                                              Market Street Trust Company
04-23-02                                                                 PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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      TOTAL -                     -5,400.000               480,510.00    724,488.34    -1,129,275.47    404,787.13       9,500    480,510.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OAKASS MXIM       Maxim Integrated Products Inc  9,500.000 SHRS       50.580       480,510.00     52.510 12-31-01     498,845.00       18,335.00

OAKASS PFE          Pfizer
PUR   05-01-01    266371          11,500.000     43.750    503,700.00                                                   11,500    503,700.00 Pfizer Inc
                               -------------             ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                     11,500.000               503,700.00          0.00             0.00          0.00      11,500    503,700.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OAKASS PFE        Pfizer                        11,500.000 SHRS       43.800       503,700.00     39.850 12-31-01     458,275.00      -45,425.00

OAKASS PMCS         PMC-Sierra Inc
PUR   02-02-01    251857           1,900.000     68.785    130,691.50                                                        0          0.00 PMC-Sierra Inc @68.785
SAL   03-15-01    257269         -12,500.000     34.550                  431,860.60    -1,718,641.50 -1,286,780.90                         PMC-Sierra Inc
PUR   05-02-01    266370          12,000.000     41.950    503,400.00                                                   12,000    503,400.00 PMC-Sierra Inc
PUR   11-05-01    284125           1,600.000     18.750     30,000.00                                                    1,600     30,000.00 PMC-Sierra Inc @18.75
                               -------------             ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                      3,000.000               664,091.50    431,860.60    -1,718,641.50 -1,286,780.90      13,600    533,400.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OAKASS PMCS       PMC-Sierra Inc                13,600.000 SHRS       39.221       533,400.00     21.260 12-31-01     289,136.00     -244,264.00

OAKASS POGSX        Pin Oak Aggressive Stock Fund
PUR   03-15-01    2572[illegible]        196,914.998     30.470  6,000,000.00                                                        0          0.00 3/15 Purchase Pin Oak Fund
PUR   03-16-01    257280          14,790.961     29.540    436,925.00                                                        0          0.00 3/16 Purchase Pin Oak Fund
SAL   04-26-01    264199        -211,705.959     31.290                6,624,279.46    -6,436,925.00    187,354.46                         4/26 Sale of Pin Oak Fund
                               -------------             ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                          0.000             6,436,925.00  6,624,279.46    -6,436,925.00    187,354.46           0          0.00

OAKASS SCMR         Sycamore Networks Inc.
SAL   03-15-01    257270         -11,500.000     12.750                  146,620.11    -1,169,562.65 -1,022,942.54                         Sycamore Networks Inc
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                                                              Market Street Trust Company
04-23-02                                                  PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                            REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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      TOTAL -                      -11,500.000                  0.00   146,620.11   -1,169,562.65 -1,022,942.54         0         0.00

OAKASS VRTS        Veritas Software Corp
PUR   05-03-01      267521           7,500.000     69.340  520,050.00                                                 7,500   520,050.00 Veritas Software Co @69.34
PUR   10-03-01      280851           5,500.000     23.050  126,775.00                                                 5,500   126,775.00 Veritas Software Co
                                 -------------             ------------ ------------ --------------- ------------- ---------  -----------
      TOTAL -                       13,000.000             646,825.00         0.00            0.00          0.00    13,000   646,825.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OAKASS VRTS       Veritas Software Corp          13,000.000 SHRS       49.756     646,825.00     44.830 12-31-01     582,790.00      -64,035.00

OAKASS VTSS        Vitesse Semiconductor
SAL   03-15-01      257271         -12,300.000     41.625                511,970.43   -1,130,843.55   -618,873.12                        Vitesse Semiconductor Corp
PUR   04-30-01      264565          14,000.000     33.900  474,600.00                                                14,000   474,600.00 Vitesse Semiconductor Corp
PUR   11-05-01      284124           6,600.000     10.690   70,554.00                                                 6,600    70,554.00 Vitesse Semiconductor Corp
PUR   12-04-01      287164           1,400.000     12.360   17,304.00                                                 1,400    17,304.00 Vitesse Semiconductor @12.36
                                 -------------             ------------ ------------ --------------- ------------- ---------  -----------
      TOTAL -                        9,700.000             562,458.00   511,970.43   -1,130,843.55   -618,873.12    22,000   562,458.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OAKASS VTSS       Vitesse Semiconductor          22,000.000 SHRS       25.566     562,458.00     12.430 12-31-01     273,460.00     -288,998.00

OAKASS WOGSX       White Oak Growth Stock Fund
PUR   03-15-01      257277          37,346.221     45.520 1,700,000.00                                                    0         0.00 3/15 Purchase White Oak Fund
PUR   03-16-01      257279           2,786.920     44.420  123,795.00                                                     0         0.00 3/16 Purchase White Oak Fund
SAL   04-26-01      264196              -0.215     46.450                     10.00           -9.79          0.21                        4/26 Sale of White Oak
SAL   04-26-01      264198         -40,132.926     46.450              1,864,174.40   -1,823,785.21     40,389.19                        4/26 Sale of White Oak Fd
                                 -------------             ------------ ------------ --------------- ------------- ---------  -----------
      TOTAL -                            0.000            1,823,795.00 1,864,184.40   -1,823,795.00     40,389.40         0         0.00

OAKASS XLNX        Xilinx Inc
PUR   05-01-01      266373          10,800.000     47.369  511,589.52                                                10,800   511,589.52 Xilinx Corp
                                 -------------             ------------ ------------ --------------- ------------- ---------  -----------
      TOTAL -                       10,800.000             511,589.52         0.00            0.00          0.00    10,800   511,589.52
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                                                                        Market Street Trust Company
04-23-02                                                               PURCHASE / SALE DETAIL HISTORY REPORT                                          PAGE 46
FC3.3                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                         REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
____  ________ __________  ________________  ________  __________  ____________  _______________  ____________  __________  ___________  ___________

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE          COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      OAKASS XLNX       Xilinx Inc                           10,800.000 SHRS    47.369    511,589.52     39.050  12-31-01    421,740.00      -89,849.52

WPS   AUD       Automatic Data Processing
PUR   01-04-01    248862           1,000.000    56.875     56,955.00                                                      950    54,107.25  AUTOMATIC DATA PROCESSING INC @ 56.875 56 875.00 BROKERAGE 80.00 NEUBERGER & BER
PUR   01-05-01    248864           6,000.000    55.000    330,480.00                                                    6,000   330,480.00  AUTOMATIC DATA PROCESSING INC @ 55.00 330 000.00 BROKERAGE 480.00 NEUBERGER & BE
SAL   04-19-01    263856          -5,700.000    54.400                  309,613.66     -188,061.81    121,551.85                            AUTOMATIC DATA PROCESSING INC @ 54.40 310 080.00 BROKERAGE 456.00 TAX &/OR SEC 1
SAL   05-31-01    267473          -4,500.000    54.116                  243,152.08      -55,569.38    187,582.70                            Automatic Data Processing
SAL   11-12-01    284737          -6,450.000    54.067                  348,203.88     -387,771.27    -39,567.39                            Automatic Data Processing
                               ________________          __________  ____________  _______________  ____________  __________  ___________
      TOTAL -                     -9,650.000               387,435.00    900,969.62     -631,402.46    269,567.16        6,950   384,587.25

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE          COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      WPS    AUD        Automatic Data Processing            65,550.000 SHRS    12.223    801,221.69     58.900  12-31-01  5,598,445.00    4,797,223.31

WPS   BUD       Anheuser-Busch Companies Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE          COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      WPS    BUD        Anheuser-Busch Companies Inc         20,950.000 SHRS    45.561    954,500.86                                       -954,500.86

WPS   CSCO      Cisco Systems Inc
PUR   01-19-01    249555          11,950.000    42.165    504,826.56                                                        0         0.00  CISCO SYSTEMS INC @ 42.1649 503 870.56 BROKERAGE 956.00 NEUBERGER & BERMAN TRADE
PUR   01-29-01    249929           5,250.000    36.240    190,677.90                                                        0         0.00  Cisco Systems Inc @36.2396
PUR   02-07-01    251693           4,550.000    32.008    145,998.13                                                        0         0.00  Cisco Systems Inc @32.0075
SAL   04-17-01    263850         -30,000.000    16.472                  491,737.52   -1,394,514.02   -902,776.50                            CISCO SYSTEMS INC @ 16.4718 494 154.00 BROKERAGE 2 400.00 TAX &/OR SEC 16.48 NEL
SAL   04-18-01    263853         -13,150.000    18.024                  235,953.06     -478,196.45   -242,243.39                            CISCO SYSTEMS INC @ 18.0238 237 012.97 BROKERAGE 1 052.00 TAX &/OR SEC 7.91 NEUB
                               ________________          __________  ____________  _______________  ____________  __________  ___________
      TOTAL -                    -21,400.000               841,502.59    727,690.58   -1,872,710.47 -1,145,019.89            0         0.00

WPS   CVS       CVS Corp
SAL   01-18-01    249550         -20,150.000    55.634                1,119,371.70     -815,486.42    303,885.28                            C V S CORP DEL @ 55.6338 1 121 021.07 BROKERAGE 1 612.00 TAX &/OR SEC 37.37 NEUB
SAL   01-18-01    249551         -20,850.000    55.634                1,158,258.06     -914,167.59    244,090.47                            C V S CORP DEL @ 55.6338 1 159 964.73 BROKERAGE 1 668.00 TAX &/OR SEC 38.67 NEUB
SAL   04-10-01    262834            -900.000    57.029                   51,252.11      -36,349.56     14,902.55                            C V S CORP DEL @ 57.0287 51 325.83 BROKERAGE 72.00 TAX &/OR SEC 1.72 NEUBERGER &
SAL   09-26-01    279050         -40,650.000    31.525                1,278,196.53   -1,611,210.93   -333,014.40                            CVS Corp @31.525
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                                                                                  Market Street Trust Company
04-23-02                                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                     PAGE 47
FC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                   -82,550.000                     0.00  3,607,078.40   -3,377,214.50    229,863.90           0         0.00

WPS   DELL      Dell Computer Corp
PUR   01-31-01    250568         33,600.000     27.625    930,881.28                                                   33,600   930,881.28 Dell Computer Corp @27.6248
PUR   06-27-01    270959         14,200.000     25.689    365,918.38                                                   14,200   365,918.38 Dell Computer @25.6889
PUR   06-28-01    270686         13,700.000     26.481    363,889.81                                                   13,700   363,889.81 Dell Computer Corp @26.4813
                                ------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                    61,500.000             1,660,689.47          0.00            0.00          0.00      61,500 1,660,689.47

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE           COST       PRICE  DATE         MARKET VALUE  UNREALIZED G/L
      WPS    DELL      Dell Computer Corp              61,500.000 SHRS      27.003   1,660,689.47      27.180  12-31-01     1,671,570.00       10,880.53

WPS   DIS       Walt Disney Company
PUR   02-02-01    251692         15,150.000     30.815    468,051.68                                                   15,150   468,051.68 Walt Disney Co @30.8145
PUR   04-20-01    263859         13,000.000     31.231    407,037.80                                                   13,000   407,037.80 WALT DISNEY CO @ 31.2306 405 997.80 BROKERAGE 1 040.00 NEUBERGER & BERMAN TRADE
PUR   04-25-01    264157          4,400.000     29.782    131,392.36                                                    4,400   131,392.36 Walt Disney Co @29.7819
PUR   05-03-01    266108         11,000.000     30.932    341,128.70                                                   11,000   341,128.70 WALT DISNEY CO @ 30.9317 340 248.70 BROKERAGE 880.00 NEUBERGER & BERMAN TRADE DA
PUR   05-22-01    267094          4,200.000     34.460    145,068.00                                                    4,200   145,068.00 WALT DISNEY CO @ 34.46 144 732.00 BROKERAGE 336.00 NEUBERGER & BERMAN TRADE DATE
PUR   05-23-01    267095         12,450.000     33.734    420,980.57                                                   12,450   420,980.57 WALT DISNEY CO @ 33.7337 419 984.57 BROKERAGE 996.00 NEUBERGER & BERMAN TRADE DA
PUR   11-05-01    283826          5,200.000     19.160    100,048.00                                                    5,200   100,048.00 WALT DISNEY CO @ 19.16 99 632.00 BROKERAGE 416.00 NEUBERGER & BERMAN TRADE DATE
                                ------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                    65,400.000             2,013,707.11          0.00            0.00          0.00      65,400 2,013,707.11

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE           COST       PRICE  DATE         MARKET VALUE  UNREALIZED G/L
      WPS    DIS       Walt Disney Company             65,400.000 SHRS      30.791   2,013,707.11      20.720  12-31-01     1,355,088.00     -658,619.11

WPS   EL        Estee Lauder Companies
PUR   01-18-01    249552          5,000.000     42.082    210,808.50                                                        0         0.00 ESTEE LAUDER COMPANIES CL A @ 42.0817 210 408.50 BROKERAGE 400.00 NEUBERGER & BE
PUR   01-19-01    249556          2,800.000     41.874    117,472.04                                                        0         0.00 ESTEE LAUDER COMPANIES CL A @ 41.8743 117 248.04 BROKERAGE 224.00 NEUBERGER & BE
PUR   01-22-01    249558          2,800.000     40.581    113,851.64                                                        0         0.00 ESTEE LAUDER COMPANIES CL A @ 40.3813 113 627.64 BROKERAGE 224.00 NEUBERGER & BE
SAL   12-06-01    287174        -11,800.000     32.965                  388,034.75     -502,444.00   -114,409.25                         ESTEE LAUDER COMPANIES CL A @ 32.9654 388 991.72 BROKERAGE 944.00 TAX &/OR SEC 1
SAL   12-07-01    287178           -200.000     32.704                    6,524.56       -8,516.00     -1,991.44                         ESTEE LAUDER COMPANIES CL A @ 32.7039 353 202.12 BROKERAGE 864.00 TAX &/OR SEC 1
SAL   12-07-01    287178        -10,600.000     32.704                  345,801.78     -442,132.18    -96,330.40                         ESTEE LAUDER COMPANIES CL A @ 32.7039 353 202.12 BROKERAGE 864.00 TAX &/OR SEC 1
                                ------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                   -12,000.000               442,132.18    740,361.09     -953,092.18   -212,731.09           0         0.00
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                                                                         Market Street Trust Company
04-23-02                                                             PURCHASE / SALE DETAIL HISTORY REPORT                                                PAGE 48
FC3.3                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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WPS    FDC       First Data
SAL   01-02-01    248853        -6,400.000     50.824                 324,752.03     -287,301.36    37,450.67                         FIRST DATA CORP @ 50.8242 325 274.88 BROKERAGE 512.00 TAX &/OR SEC 10.85 NEUBERG
SAL   01-03-01    248859        -1,600.000     51.375                  82,069.26      -71,813.76    10,255.50                         FIRST DATA CORP @ 51.375 82 200.00 BROKERAGE 128.00 TAX &/OR SEC 2.74 NEUBERGER
PUR   06-19-01    270530         7,700.000     66.951    516,135.62                                                7,700   516,135.62 First Data Corp @66.9506
                              -------------             ------------ ------------ --------------- ------------ ---------- ------------
      TOTAL -                     -300.000               516,135.62   406,821.29     -359,115.12    47,706.17      7,700   516,135.62

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM     AVERAGE         COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      WPS    FDC       First Data                       50,475.000 SHRS     53.310  2,690,826.43     78.450 12-31-01  3,198,798.75      507,972.32

WPS    GE        General Electric Co
PUR   01-02-01    248854        12,550.000     43.623    548,470.14                                               12,550   548,470.14 GENERAL ELECTRIC CO @ 43.6228 547 466.14 BROKERAGE 1 004.00 NEUBERGER & BERMAN 1
PUR   01-12-01    248876        19,000.000     45.093    858,288.90                                               19,000   858,288.90 GENERAL ELECTRIC CO @ 45.0931 856 768.90 BROKERAGE 1 520.00 NEUBERGER & BERMAN 1
SAL   06-19-01    270527       -17,100.000     49.189                 839,742.70     -850,500.16   -10,757.46                         General Electric @49.1894
                              -------------             ------------ ------------ --------------- ------------ ---------- ------------
      TOTAL -                   14,450.000             1,406,759.04   839,742.70     -850,500.16   -10,757.46     31,550 1,406,759.04

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM     AVERAGE         COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      WPS    GE        General Electric Co              61,650.000 SHRS     42.594  2,625,900.46     40.080 12-31-01  1,380,756.00   -1,245,144.46

WPS    HD        Home Depot
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM     AVERAGE         COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      WPS    HD        Home Depot                       50,700.000 SHRS     49.602  2,514,815.64     40.000 08-31-95          0.00   -2,514,815.64

WPS    INTC      Intel Corporation
SAL   01-02-01    248855       -19,900.000     30.839                 612,091.60      -79,000.51   533,091.09                         INTEL CORP @ 30.8394 613 704.06 BROKERAGE 1 592.00 TAX &/OR SEC 20.46 NEUBERGER
SAL   01-05-01    248865       -25,000.000     32.005                 798,088.32      -96,502.99   701,585.33                         INTEL CORP @ 32.0046 800 115.00 BROKERAGE 2 000.00 TAX &/OR SEC 26.68 NEUBERGER
SAL   04-02-01    262822       -16,100.000     25.572                 410,409.08      -59,786.34   350,622.74                         INTEL CORP @ 25.5721 411 710.81 BROKERAGE 1 288.00 TAX &/OR SEC 13.73 NEUBERGER
SAL   04-03-01    262827        -2,650.000     25.652                  67,763.80       -9,840.61    57,923.19                         INTEL CORP @ 25.6521 67 978.07 BROKERAGE 212.00 TAX &/OR SEC 2.27 NEUBERGER & BE
SAL   04-09-01    262830       -22,400.000     22.777                 508,402.51      -83,181.00   425,221.51                         INTEL CORP @ 22.7773 510 211.52 BROKERAGE 1 792.00 TAX &/OR SEC 17.01 NEUBERGER
SAL   04-10-01    262835        -2,550.000     23.958                  60,885.84       -9,469.27    51,416.57                         INTEL CORP @ 23.9576 61 091.88 BROKERAGE 204.00 TAX &/OR SEC 2.04 NEUBERGER & BE
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      TOTAL -                  -88,600.000                     0.00 2,457,641.15     -337,780.72 2,119,860.43          0         0.00
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
WPS	JNJ	Johnson & Johnson									
PUR	04-11-01	262838	4,600.000	90.769	417,906.78				9,200	417,906.78	JOHNSON & JOHNSON @ 90.7693 417 538.78 BROKERAGE 368.00 NEUBERGER & BERMAN TRADE
PUR	04-20-01	263860	5,300.000	91.114	483,328.73				10,600	483,328.73	JOHNSON & JOHNSON @ 91.1141 482 904.73 BROKERAGE 424.00 NEUBERGER & BERMAN TRADE
PUR	04-27-01	264570	4,100.000	94.826	389,115.42				8,200	389,115.42	Johnson & Johnson @94.8262
PUR	05-29-01	267463	4,200.000	97.690	410,633.16				8,400	410,633.16	Johnson & Johnson @97.6898
SPLDV	06-13-01	269673	18,200.000		0.00				0	0.00	Johnson & Johnson 2 for 1
PUR	06-19-01	270531	5,900.000	53.150	313,705.36				5,900	313,705.36	Johnson & Johnson @53.0904
PUR	06-20-01	270532	5,900.000	53.794	317,854.24				5,900	317,854.24	Johnson & Johnson @53.79360
	TOTAL -		48,200.000		2,332,543.69	0.00	0.00	0.00	48,200	2,332,543.69	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WPS	JNJ	Johnson & Johnson	48,200.000	SHRS	48.393	2,332,543.69	59.100	12-31-01	2,848,620.00	516,076.31

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
WPS	JPMSWEEP	J P Morgan Money Market Sweep									
PUR	01-19-01	248881	253,373.490	1.000	253,373.49				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-19-01	248882	1,026,234.790	1.000	1,026,234.79				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-19-01	248883	1,446,781.520	1.000	1,446,781.52				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-19-01	248884	205,924.940	1.000	205,924.94				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248885	-195,000.000	1.000		195,000.00	-195,000.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248886	-541,196.570	1.000		541,196.57	-541,196.57	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248887	-1,003,398.990	1.000		1,003,398.99	-1,003,398.99	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248888	-96,126.750	1.000		96,126.75	-96,126.75	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248889	-1,161,629.100	1.000		1,161,629.10	-1,161,629.10	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248890	-280,384.400	1.000		280,384.40	-280,384.40	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-26-01	249560	327,230.350	1.000	327,230.35				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-26-01	249561	1,347,385.920	1.000	1,347,385.92				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-26-01	249562	-1,128,161.100	1.000		1,128,161.10	-1,128,161.10	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-26-01	249563	-113,851.640	1.000		113,851.64	-113,851.64	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	02-01-01	251694	-276,807.230	1.000		276,807.23	-276,807.23	0.00			Prime Money Market Sweep Fund
PUR	02-02-01	251688	251,593.770	1.000	251,593.77				0	0.00	Prime Money Market Sweep Fund
SAL	02-05-01	251695	-234,353.690	1.000		234,353.69	-234,353.69	0.00			Prime Money Market Sweep Fund
PUR	02-07-01	251689	28,817.120	1.000	28,817.12				0	0.00	Prime Money Market Sweep Fund
PUR	02-08-01	251690	413,463.290	1.000	413,463.29				0	0.00	Prime Money Market Sweep Fund
SAL	02-12-01	251696	-8,656.950	1.000		8,656.95	-8,656.95	0.00			Prime Money Market Sweep Fund

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	02-14-01	251691	359.520	1.000	359.52				0	0.00	Prime Money Market Sweep Fund
SAL	02-23-01	252203	-137,949.350	1.000		137,949.35	-137,949.35	0.00			Prime Money Market Sweep Fund
PUR	03-02-01	256924	388,155.610	1.000	388,155.61				0	0.00	Prime Money Market Sweep Fund
SAL	03-05-01	256930	-461,059.120	1.000		461,059.12	-461,059.12	0.00			Prime Money Market Sweep Fund
SAL	03-12-01	256932	-130,299.680	1.000		130,299.68	-130,299.68	0.00			Prime Money Market Sweep Fund
SAL	03-16-01	257243	-316,166.300	1.000		316,166.30	-316,166.30	0.00			Prime Money Market Sweep Fund
PUR	04-18-01	262845	723,275.640	1.000	723,275.64				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262846	67,763.800	1.000	67,763.80				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262847	343,866.010	1.000	343,866.01				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262848	123,175.640	1.000	123,175.64				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262849	1,277,363.730	1.000	1,277,363.73				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262850	866,462.500	1.000	866,462.50				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262851	20,432.210	1.000	20,432.21				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262852	123,229.850	1.000	123,229.85				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-26-01	263865	508,904.070	1.000	508,904.07				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-26-01	263866	-162,101.420	1.000		162,101.42	-162,101.42	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-26-01	263867	-252,631.840	1.000		252,631.84	-252,631.84	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-26-01	263868	-1,118,266.530	1.000		1,118,266.53	-1,118,266.53	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-26-01	263869	-183,480.000	1.000		183,480.00	-183,480.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-30-01	264156	-131,392.360	1.000		131,392.36	-131,392.36	0.00			Prime Money Market Sweep Fund
PUR	05-16-01	266115	437,346.990	1.000	437,346.99				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-16-01	266116	68,108.950	1.000	68,108.95				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266117	-519,042.090	1.000		519,042.09	-519,042.09	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266118	-286,942.890	1.000		286,942.89	-286,942.89	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266119	-500,798.570	1.000		500,798.57	-500,798.57	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266120	-666,188.220	1.000		666,188.22	-666,188.22	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266121	-139,151.000	1.000		139,151.00	-139,151.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266122	-290,440.780	1.000		290,440.78	-290,440.78	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-18-01	267806	-22,658.130	1.000		22,658.13	-22,658.13	0.00			Prime Money Market Sweep Fund
SAL	05-31-01	267099	-145,068.000	1.000		145,068.00	-145,068.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-31-01	267100	-57,415.870	1.000		57,415.87	-57,415.87	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-31-01	267100	-280,313.940	1.000		280,313.94	-280,313.94	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	06-05-01	268581	46,657.070	1.000	46,657.07				0	0.00	Prime Money Market Sweep Fund
PUR	06-14-01	269675	221,078.210	1.000	221,078.21				0	0.00	Prime Money Market Sweep Fund
PUR	06-22-01	270529	9,901.720	1.000	9,901.72				0	0.00	Prime MM Sweep Fund
SAL	06-25-01	270533	-277,637.000	1.000		277,637.00	-277,637.00	0.00			Prime MM Sweep Fund
PUR	07-02-01	272605	455,909.590	1.000	455,909.59				73,540	73,540.38	Prime MM Sweep Fund

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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	07-03-01	272606	-341,117.680	1.000		341,117.68	-341,117.68	0.00			Prime MM Sweep Fund
PUR	07-18-01	273015	296,890.590	1.000	296,890.59				0	0.00	Prime MM Sweep Fund
SAL	07-25-01	273423	-74,195.330	1.000		74,195.33	-74,195.33	0.00			Prime MM Sweep Fund
PUR	08-16-01	275618	258,288.010	1.000	258,288.01				0	0.00	Prime MM Sweep Fund
PUR	08-17-01	275619	214,746.160	1.000	214,746.16				0	0.00	Prime MM Sweep Fund
SAL	08-21-01	275869	-246,408.600	1.000		246,408.60	-246,408.60	0.00			Prime MM Sweep Fund
PUR	08-22-01	275866	18,079.730	1.000	18,079.73				0	0.00	Prime MM Sweep Fund
PUR	08-23-01	275867	216,405.210	1.000	216,405.21				0	0.00	Prime MM Sweep Fund
SAL	08-24-01	275870	-124,067.770	1.000		124,067.77	-124,067.77	0.00			Prime MM Sweep Fund
SAL	08-27-01	276226	-197,927.420	1.000		197,927.42	-197,927.42	0.00			Prime MM Sweep Fund
SAL	08-30-01	276227	-403,062.110	1.000		403,062.11	-403,062.11	0.00			Prime MM Sweep Fund
PUR	09-14-01	278089	417,061.850	1.000	417,061.85				417,062	417,061.85	Prime MM Sweep Fund
PUR	09-26-01	278926	483,669.070	1.000	483,669.07				106,935	'106,934.73	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	09-26-01	278927	-160,206.750	1.000		160,206.75	-160,206.75	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	09-26-01	278928	-216,527.590	1.000		216,527.59	-216,527.59	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	10-15-01	281087	1,278,196.530	1.000	1,278,196.53				905,150	905,150.11	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	10-15-01	281088	2,170,685.000	1.000	2,170,685.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	10-15-01	281089	412,712.450	1.000	412,712.45				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	10-15-01	281090	322,788.050	1.000	322,788.05				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281091	-58,244.330	1.000		58,244.33	-58,244.33	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281092	-750,087.090	1.000		750,087.09	-750,087.09	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281093	-389,752.130	1.000		389,752.13	-389,752.13	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-16-01	281647	-415,888.000	1.000		415,888.00	-415,888.00	0.00			Prime MM Sweep Fund
SAL	10-17-01	281648	-514,985.180	1.000		514,985.18	-514,985.18	0.00			Prime MM Sweep Fund
SAL	10-18-01	281649	-1,277.680	1.000		1,277.68	-1,277.68	0.00			Prime MM Sweep Fund
SAL	10-30-01	282497	-295,823.280	1.000		295,823.28	-295,823.28	0.00			Prime MM Sweep Fund
PUR	11-13-01	283833	946,355.920	1.000	946,355.92				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-13-01	283834	-100,735.250	1.000		100,735.25	-100,735.25	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-13-01	283835	-160,221.330	1.000		160,221.33	-160,221.33	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-13-01	283836	-1,100,758.640	1.000		1,100,758.64	-1,100,758.64	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-13-01	283837	-119,940.000	1.000		119,940.00	-119,940.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	11-15-01	284731	348,203.880	1.000	348,203.88				0	0.00	Prime MM Sweep Fund
SAL	11-21-01	284735	-474,952.800	1.000		474,952.80	-474,952.80	0.00			Prime MM Sweep Fund
SAL	11-23-01	284736	-136,663.800	1.000		136,663.80	-136,663.80	0.00			Prime MM Sweep Fund
PUR	11-26-01	285240	137,750.310	1.000	137,750.31				0	0.00	Prime MM Sweep Fund
PUR	11-29-01	285241	628,961.460	1.000	628,961.46				0	0.00	Prime MM Sweep Fund
PUR	12-12-01	287181	910,613.420	1.000	910,613.42				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3

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BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
PUR	12-12-01	287182	352,326.340	1.000	352,326.34				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	12-12-01	287183	-1,041,293.490	1.000		1,041,293.49	-1,041,293.49	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	12-12-01	287184	-727,260.000	1.000		727,260.00	-727,260.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	12-12-01	287185	-315,560.250	1.000		315,560.25	-315,560.25	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
	TOTAL -		911,004.270		20,396,530.28	19,485,526.01	-19,485,526.01	0.00	1,502,687	1,502,687.07	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WPS	JPMSWEEP	J P Morgan Money Market Sweep	330,485.650	UNITS	1.000	330,485.65	1.000	12-31-01	1,502,687.07	1,172,201.42

WPS	KO	Coca-Cola									
PUR	08-27-01	276225	8,300.000	48.482	403,062.11				8,300	403,062.11	Coca-Cola Co @48.4817
PUR	09-20-01	278924	3,300.000	48.468	160,206.75				3,300	160,206.75	COCA COLA CO @ 48.4675 159 942.75 BROKERAGE 264.00 NEUBERGER & BERMAN TRADE DATE
PUR	09-21-01	278925	4,700.000	45.990	216,527.59				4,700	216,527.59	COCA COLA CO @ 45.9897 216 151.59 BROKERAGE 376.00 NEUBERGER & BERMAN TRADE DATE
PUR	10-01-01	281073	7,200.000	45.998	331,763.04				7,200	331,763.04	COCA COLA CO @ 45.9982 331 187.04 BROKERAGE 576.00 NEUBERGER & BERMAN TRADE DATE
PUR	10-03-01	281079	10,250.000	45.545	467,654.20				10,250	467,654.20	COCA COLA CO @ 45.5448 466 834.20 BROKERAGE 820.00 NEUBERGER & BERMAN TRADE DATE
	TOTAL -		33,750.000		1,579,213.69	0.00	0.00	0.00	33,750	1,579,213.69	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WPS	KO	Coca-Cola	61,850.000	SHRS	46.313	2,864,476.71	47.150	12-31-01	1,591,312.50	-1,273,164.21

WPS	KSS	Kohls Corp									
SAL	01-17-01	249548	-6,100.000	68.396		416,711.25	-329,125.50	87,585.75			KOHLS CORP @ 68.3956 417 213.16 BROKERAGE 488.00 TAX &/OR SEC 13.91 NEUBERGER &
SAL	02-27-01	252225	-3,200.000	67.393		215,395.05	-171,638.01	43,757.04			Kohls Corp @67.39320
SAL	04-12-01	262840	-2,500.000	49.962		124,701.58	-126,404.25	-1,702.67			KOHLS CORP @ 49.9623 124 905.75 BROKERAGE 200.00 TAX &/OR SEC 4.17 NEUBERGER & B
SAL	05-10-01	266113	-7,400.000	62.304		460,438.53	-374,156.58	86,281.95			KOHLS CORP @ 62.3035 461 045.90 BROKERAGE 592.00 TAX &/OR SEC 15.37 NEUBERGER &
SAL	05-11-01	266114	-1,100.000	61.999		68,108.95	-55,617.87	12,491.08			KOHLS CORP @ 61.9993 68 199.23 BROKERAGE 88.00 TAX &/OR SEC 2.28 NEUBERGER & BER
	TOTAL -		-20,300.000		0.00	1,285,355.36	-1,056,942.21	228,413.15	0	0.00	
WPS	LLY	Eli Lilly & Co									
PUR	01-04-01	248863	5,950.000	81.374	484,648.92				5,950	484,648.92	ELI LILLY & CO @ 81.3736 484 172.92 BROKERAGE 476.00 NEUBERGER & BERMAN TRADE DA
PUR	01-05-01	248866	5,200.000	80.516	419,100.24				5,200	419,100.24	ELI LILLY & CO @ 80.5162 418 684.24 BROKERAGE 416.00 NEUBERGER & BERMAN TRADE DA
PUR	04-19-01	263857	4,350.000	79.250	345,085.50				4,350	345,085.50	ELI LILLY & CO @ 79.25 344 737.50 BROKERAGE 348.00 NEUBERGER & BERMAN TRADE DATE

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	05-29-01	267469	-3,700.000	86.000		317,893.39	-323,654.91	-5,761.52			Eli Lilly & Co @86.00
SAL	05-30-01	267471	-2,000.000	85.880		171,594.27	-174,719.74	-3,125.47			Eli Lilly & Co @85.88
SAL	10-01-01	281075	-3,350.000	81.730		273,518.71	-289,205.50	-15,686.79			ELI LILLY & CO @ 81.7301 273 795.84 BROKERAGE 268.00 TAX &/OR SEC 9.13 NEUBERGER
SAL	11-20-01	285242	-1,700.000	81.112		137,750.31	-146,761.00	-9,010.69			Eli Lilly & Co @81.11230
	TOTAL -		4,750.000		1,248,834.66	900,756.68	-934,341.15	-33,584.47	15,500	1,248,834.66	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WPS	LLY	Eli Lilly & Co	18,450.000	SHRS	80.488	1,485,006.16	78.540	12-31-01	1,276,275.00	-208,731.16

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
WPS	MAR	Marriott International Inc									
SAL	04-09-01	262831	-16,900.000	39.139		660,071.67	-627,148.86	32,922.81			MARRIOTT INTERNATIONAL INC CL A @ 39.1388 661 445.72 BROKERAGE 1 352.00 TAX &/OR
SAL	04-10-01	262836	-19,250.000	39.267		754,324.55	-714,355.95	39,968.60			MARRIOTT INTERNATIONAL INC CL A @ 39.267 755 889.75 BROKERAGE 1 540.00 TAX &/OR
	TOTAL -		-36,150.000		0.00	1,414,396.22	-1,341,504.81	72,891.41	0	0.00	
WPS	MDT	Medtronic Inc									
PUR	10-04-01	281081	8,750.000	44.463	389,752.13				8,750	389,752.13	MEDTRONIC INC @ 44.4631 389 052.13 BROKERAGE 700.00 NEUBERGER & BERMAN TRADE DAT
PUR	10-10-01	281084	8,600.000	44.421	382,709.46				8,600	382,709.46	MEDTRONIC INC @ 44.4211 382 021.46 BROKERAGE 688.00 NEUBERGER & BERMAN TRADE DAT
PUR	10-11-01	281650	9,350.000	44.400	415,888.00				9,350	415,888.00	Medtronic Inc @44.40
PUR	10-25-01	282496	6,950.000	42.485	295,823.28				6,950	295,823.28	Medtronic Inc @42.4845
PUR	10-30-01	283030	6,050.000	40.549	245,809.08				6,050	245,809.08	Medtronic Inc @40.549
PUR	11-07-01	283832	3,000.000	39.900	119,940.00				3,000	119,940.00	MEDTRONIC INC @ 39.90 119 700.00 BROKERAGE 240.00 NEUBERGER & BERMAN TRADE DATE
PUR	12-04-01	287171	15,500.000	46.840	727,260.00				15,500	727,260.00	MEDTRONIC INC @ 46.84 726 020.00 BROKERAGE 1 240.00 NEUBERGER & BERMAN TRADE DAT
	TOTAL -		58,200.000		2,577,181.95	0.00	0.00	0.00	58,200	2,577,181.95	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WPS	MDT	Medtronic Inc	63,500.000	SHRS	44.677	2,836,986.36	51.210	12-31-01	2,980,422.00	143,435.64

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
WPS	MRK	Merck & Company									
PUR	11-05-01	283827	3,250.000	65.810	214,142.50				3,250	214,142.50	MERCK & CO INC @ 65.81 213 882.50 BROKERAGE 260.00 NEUBERGER & BERMAN TRADE DATE
	TOTAL -		3,250.000		214,142.50	0.00	0.00	0.00	3,250	214,142.50	

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	WPS	MRK	Merck & Company		30,900.000 SHRS	72.272	2,233,216.14	58.800	12-31-01	1,490,580.00	-742,636.14
WPS	MSFT	Microsoft									
PUR	04-17-01	263851	9,550.000	61.410	587,228.55				9,550	587,228.55	MICROSOFT CORP @ 61.4099 586 464.55 BROKERAGE 764.00 NEUBERGER & BERMAN TRADE DA
PUR	05-03-01	266109	4,700.000	69.082	325,059.52				4,700	325,059.52	MICROSOFT CORP @ 69.0816 324 683.52 BROKERAGE 376.00 NEUBERGER & BERMAN TRADE DA
PUR	05-04-01	266111	2,000.000	69.496	139,151.00				2,000	139,151.00	MICROSOFT CORP @ 69.4955 138 991.00 BROKERAGE 160.00 NEUBERGER & BERMAN TRADE DA
PUR	05-09-01	266112	4,450.000	70.377	313,532.32				4,450	313,532.32	MICROSOFT CORP @ 70.3767 313 176.32 BROKERAGE 356.00 NEUBERGER & BERMAN TRADE DA
PUR	11-05-01	283828	4,250.000	63.570	270,512.50				4,250	270,512.50	MICROSOFT CORP @ 63.57 270 172.50 BROKERAGE 340.00 NEUBERGER & BERMAN TRADE DATE
	TOTAL -		24,950.000		1,635,483.89	0.00	0.00	0.00	24,950	1,635,483.89	
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	WPS	MSFT	Microsoft		42,650.000 SHRS	66.988	2,857,044.08	66.250	12-31-01	2,825,562.50	-31,481.58
WPS	NOK	Nokia Corp CL-A									
PUR	01-18-01	249553	10,600.000	41.664	442,485.34				0	0.00	NOKIA CORP CL A SPONSORED A/D/R @ 41.6639 441 637.34 BROKERAGE 848.00 NEUBERGER
PUR	01-19-01	249557	12,500.000	40.389	505,862.50				0	0.00	NOKIA CORP CL A SPONSORED A/D/R @ 40.389 505 612.50 BROKERAGE 250.00 NEUBERGER &
PUR	04-23-01	263863	6,000.000	30.500	183,480.00				0	0.00	NOKIA CORP CL A SPONSORED A/D/R @ 30.50 183 000.00 BROKERAGE 480.00 NEUBERGER &
PUR	05-01-01	266103	4,100.000	34.271	140,839.51				0	0.00	NOKIA CORP CL A SPONSORED A/D/R @ 34.2711 140 511.51 BROKERAGE 328.00 NEUBERGER
PUR	05-02-01	266106	5,750.000	33.789	194,747.90				0	0.00	NOKIA CORP CL A SPONSORED A/D/R @ 33.7892 194 287.90 BROKERAGE 460.00 NEUBERGER
PUR	05-24-01	267096	16,050.000	32.096	516,418.38				0	0.00	NOKIA CORP CL A SPONSORED A/D/R @ 32.0956 515 134.38 BROKERAGE 1 284.00 NEUBERGE
PUR	05-31-01	267464	5,800.000	29.202	169,836.18				0	0.00	Nokia Corp @29.20210
SAL	09-10-01	278090	-30,400.000	13.800		417,061.85	-1,197,568.79	-780,506.94			Nokia Corp @13.7996
SAL	09-19-01	278923	-30,400.000	15.991		483,669.07	-956,101.02	-472,431.95			NOKIA CORP CL A SPONSORED A/D/R @ 15.9907 486 117.28 BROKERAGE 2 432.00 TAX &/OR
	TOTAL -		0.000		2,153,669.81	900,730.92	-2,153,669.81	-1,252,938.89	0	0.00	
WPS	NTRS	Northern Trust Corp									
PUR	01-03-01	248860	2,500.000	75.208	188,219.50				2,500	188,219.50	NORTHERN TRUST CORP @ 75.2078 188 019.50 BROKERAGE 200.00 NEUBERGER & BERMAN TRA
PUR	01-08-01	248869	2,225.000	74.464	165,861.07				2,225	165,861.07	NORTHERN TRUST CORP @ 74.4643 165 683.07 BROKERAGE 178.00 NEUBERGER & BERMAN TRA
PUR	01-09-01	248871	8,150.000	72.425	590,914.12				8,150	590,914.12	NORTHERN TRUST CORP @ 72.4248 590 262.12 BROKERAGE 652.00 NEUBERGER & BERMAN TRA
PUR	01-10-01	248874	1,350.000	71.125	96,126.75				1,350	96,126.75	NORTHERN TRUST CORP @ 71.125 96 018.75 BROKERAGE 108.00 NEUBERGER & BERMAN TRADE
PUR	01-16-01	248879	4,000.000	70.016	280,384.40				4,000	280,384.40	NORTHERN TRUST CORP @ 70.0161 280 064.40 BROKERAGE 320.00 NEUBERGER & BERMAN TRA
PUR	11-05-01	283829	4,950.000	53.360	264,528.00				4,950	264,528.00	NORTHERN TRUST CORP @ 53.36 264 132.00 BROKERAGE 396.00 NEUBERGER & BERMAN TRADE

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                                                                                        Market Street Trust Company
04-23-02                                                                           PURCHASE / SALE DETAIL HISTORY REPORT                                                    PAGE 55
FC3.3                                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                             REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -                   23,175.000             1,586,033.84           0.00            0.00          0.00       23,175 1,586,033.84

WPS   NYT       New York Times Co A
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE          COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      WPS    NYT       New York Times Co A                     48,600.000 SHRS        38.346  1,863,609.14     43.250 12-31-01  2,101,950.00      238,340.86

WPS   OMC       Omnicom Group Inc.
PUR   08-16-01    275862         3,000.000     82.056    246,408.60                                                     3,000   246,408.60 Omnicom Group Inc @82.0562
PUR   08-17-01    275863         1,900.000     81.779    155,531.91                                                     1,900   155,531.91 Omnicom Group Inc @81.7789
PUR   08-21-01    275864         2,700.000     80.076    216,422.28                                                     2,700   216,422.28 Omnicom Group Inc @80.0764
PUR   08-22-01    276224         2,450.000     80.707    197,927.42                                                     2,450   197,927.42 Omnicom Group Inc @80.7067
PUR   10-03-01    281080         4,350.000     64.847    282,432.89                                                     4,350   282,432.89 OMNICOM GROUP INC @ 64.8471 282 084.89 BROKERAGE 348.00 NEUBERGER & BERMAN TRADE
PUR   10-12-01    281651         7,100.000     72.945    518,476.08                                                     7,100   518,476.08 Omnicom Group @72.9448
PUR   11-28-01    285244         8,950.000     86.279    772,908.58                                                     8,950   772,908.58 Omnicom Group Inc @86.2785
                            --------------             ------------  ------------- --------------- -------------  -----------  -----------
      TOTAL -                   30,450.000             2,390,107.76           0.00            0.00          0.00       30,450 2,390,107.76

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE          COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      WPS    OMC       Omnicom Group Inc.                      30,450.000 SHRS        78.493  2,390,107.76     89.350 12-31-01  2,720,707.50      330,599.74

WPS   PFE       Pfizer
SAL   01-30-01    250569        -5,750.000     43.837                   251,593.77     -189,654.65     61,939.12                           Pfizer Inc @43.8369
SAL   01-31-01    250570       -15,950.000     43.751                   696,527.59     -176,959.93    519,567.66                           Pfizer Inc @43.7509
SAL   02-07-01    251700        -3,050.000     45.114                   137,341.18      -33,838.73    103,502.45                           Pfizer Inc @45.1114
SAL   04-02-01    262825        -7,950.000     39.436                   312,866.56      -86,679.00    226,187.56                           PFIZER INC @ 39.4356 313 513.02 BROKERAGE 636.00 TAX &/OR SEC 10.46 NEUBERGER &
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      TOTAL -                  -32,700.000                     0.00   1,398,329.10     -487,132.31    911,196.79            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE          COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      WPS    PFE       Pfizer                                  43,050.000 SHRS        22.341    961,772.00     39.850 12-31-01  1,715,542.50      753,770.50

WPS   SBUX      Starbucks Corp
SAL   01-05-01    248867        -7,950.000     42.494                   337,181.63     -192,580.80    144,600.83                           STARBUCKS CORP @ 42.4942 1 640 276.12 BROKERAGE 3 088.00 TAX &/OR SEC 54.68 NEUB
SAL   01-05-01    248867       -30,650.000     42.494                 1,299,951.81     -796,862.20    503,089.61                           STARBUCKS CORP @ 42.4942 1 640 276.12 BROKERAGE 3 088.00 TAX &/OR SEC 54.68 NEUB
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                                                                    Market Street Trust Company
04-23-02                                                        PURCHASE / SALE DETAIL HISTORY REPORT                                                       PAGE 56
FC3.3                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY  COST BASIS DESCRIPTION

SAL   02-27-01    252224      -3,700.000     48.125                  177,760.56     -93,402.80     84,357.76                         Starbucks Corp @48.125
SAL   04-11-01    262839     -10,800.000     40.668                  438,338.99    -272,635.20    165,703.79                         STARBUCKS CORP @ 40.6683 439 217.64 BROKERAGE 864.00 TAX &/OR SEC 14.65 NEUBERGE
SAL   04-18-01    263854      -8,200.000     40.208                  329,041.06    -207,000.80    122,040.26                         STARBUCKS CORP @ 40.2083 329 708.06 BROKERAGE 656.00 TAX &/OR SEC 11.00 NEUBERGE
PUR   10-30-01    283031       5,850.000     17.139   100,735.25                                                  5,850  100,735.25 Starbucks Corp @17.139
PUR   11-01-01    283824       9,300.000     17.148   160,221.33                                                  9,300  160,221.33 STARBUCKS CORP @ 17.1481 159 477.33 BROKERAGE 744.00 NEUBERGER & BERMAN TRADE DA
PUR   11-16-01    284732      27,200.000     17.382   474,952.80                                                 27,200  474,952.80 Starbucks Corp @17.3815
PUR   11-19-01    284734       7,800.000     17.441   136,663.80                                                  7,800  136,663.80 Starbucks Corp @17.4410
PUR   12-04-01    287172      44,250.000     19.415   862,649.33                                                 44,250  862,649.33 STARBUCKS CORP @ 19.4149 859 109.33 BROKERAGE 3 540.00 NEUBERGER & BERMAN TRADE

      TOTAL -                 33,100.000            1,735,222.51  2,582,274.05  -1,562,481.80  1,019,792.25      94,400 1,735,222.51

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      UPS    SBUX       Starbucks Corp                     94,400.000 SHRS        18.382  1,735,222.51     19.050 12-31-01    1,798,320.00       63,097.49

UPS    STRY       Stryker Corp
SAL   01-09-01    248872      -2,300.000     46.409                  106,554.06     -34,468.95     72,085.11                         STRYKER CORP @ 46.4094 106 741.62 BROKERAGE 184.00 TAX &/OR SEC 3.56 NEUBERGER &
SAL   01-09-01    248873     -14,900.000     46.409                  690,285.00    -242,384.58    447,900.42                         STRYKER CORP @ 46.4094 691 500.06 BROKERAGE 1 192.00 TAX &/OR SEC 23.06 NEUBERGE
SAL   02-02-01    251697     -11,000.000     45.251                  496,868.80    -164,851.50    332,017.30                         Stryker Corp @45.2514
SAL   02-05-01    251699      -9,000.000     46.022                  413,463.29    -134,878.50    278,584.79                         Stryker Corp @46.0219
SAL   04-05-01    262828      -6,700.000     51.405                  343,866.01    -100,409.55    243,456.46                         STRYKER CORP @ 51.405 344 413.50 BROKERAGE 536.00 TAX &/OR SEC 11.49 NEUBERGER &
SAL   04-06-01    262829      -2,400.000     51.405                  123,175.64     -35,967.60     87,208.04                         STRYKER CORP @ 51.4049 123 371.76 BROKERAGE 192.00 TAX &/OR SEC 4.12 NEUBERGER &
SAL   04-09-01    262832      -2,100.000     51.934                  108,889.55     -31,471.65     77,417.90                         STRYKER CORP @ 51.9339 109 061.19 BROKERAGE 168.00 TAX &/OR SEC 3.64 NEUBERGER &
SAL   05-24-01    267097      -9,000.000     57.513                  516,877.94    -134,878.50    381,999.44                         STRYKER CORP @ 57.5128 517 615.20 BROKERAGE 720.00 TAX &/OR SEC 17.26 NEUBERGER
SAL   06-11-01    269674      -4,000.000     55.351                  221,078.21     -59,946.00    161,132.21                         Stryker Corp @55.3514

      TOTAL -                -61,400.000                    0.00  3,021,058.50    -939,256.83  2,081,801.67           0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      UPS    STRY       Stryker Corp                       27,500.000 SHRS        14.550    400,122.75     58.370 12-31-01    1,605,175.00     1,205,052.25

UPS    STT        State Street Corp
PUR   01-08-01    248870       7,400.000    113.101   837,537.92                                                 14,800  837,537.92 STATE STREET CORP @ 113.1008 836 945.92 BROKERAGE 592.00 NEUBERGER & BERMAN TRAD
PUR   01-17-01    249549         825.000    108.382    89,480.90                                                  1,650   89,480.90 STATE STREET CORP @ 108.3817 89 414.90 BROKERAGE 66.00 NEUBERGER & BERMAN TRADE
PUR   01-18-01    249554       2,500.000    110.700   276,950.00                                                  5,000  276,950.00 STATE STREET CORP @ 110.70 276 750.00 BROKERAGE 200.00 NEUBERGER & BERMAN TRADE
PUR   02-20-01    252204       1,375.000    100.247   137,949.35                                                  2,750  137,949.35 State Street Corp @100.2468
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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	04-19-01	263858	2,000.000	108.500	217,160.00				4,000	217,160.00	STATE STREET CORP @ 108.50 217 000.00 BROKERAGE 160.00 NEUBERGER & BERMAN TRADE
SPLDV	05-31-01	267101	22,600.000		0.00				0	0.00	STATE STREET CORP 2 FOR 1 STOCK DISTRIBUTION
PUR	11-05-01	283830	3,350.000	47.258	158,583.64				3,350	158,583.64	STATE STREET CORP @ 47.2584 158 315.64 BROKERAGE 268.00 NEUBERGER & BERMAN TRADE
PUR	12-04-01	287173	3,400.000	52.462	178,644.16				3,400	178,644.16	STATE STREET CORP @ 52.4624 178 372.16 BROKERAGE 272.00 NEUBERGER & BERMAN TRADE
PUR	12-06-01	287176	4,150.000	54.240	225,428.00				4,150	225,428.00	STATE STREET CORP @ 54.24 225 096.00 BROKERAGE 332.00 NEUBERGER & BERMAN TRADE 0
	TOTAL -		47,600.000		2,121,733.97	0.00	0.00	0.00	39,100	2,121,733.97	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WPS	STT	State Street Corp	57,100.000	SHRS	56.317	3,215,709.57	52.250	12-31-01	2,931,225.00	-284,484.57

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
WPS	SWY	Safeway Inc									
PUR	01-05-01	248868	4,500.000	53.000	238,860.00				0	0.00	SAFEWAY INC @ 53.00 238 500.00 BROKERAGE 360.00 NEUBERGER & BERMAN TRADE DATE 01
PUR	01-12-01	248878	6,000.000	50.213	301,759.80				0	0.00	SAFEWAY INC @ 50.2133 301 279.80 BROKERAGE 480.00 NEUBERGER & BERMAN TRADE DATE
SAL	06-27-01	270961	-18,000.000	47.973		862,045.21	-1,068,531.50	-206,486.29			Safeway Inc @47.973
SAL	07-13-01	273016	-7,050.000	42.394		298,302.32	-389,195.25	-90,892.93			Safeway Inc @42.3938
SAL	08-13-01	275615	-5,700.000	45.395		258,288.01	-310,406.55	-52,118.54			Safeway Inc @45.3952
SAL	08-14-01	275616	-4,700.000	45.772		214,746.16	-255,648.04	-40,901.88			Safeway Inc @45.7722
SAL	08-17-01	275858	-3,800.000	45.769		173,611.64	-201,704.00	-28,092.36			Safeway Inc @45.7688
SAL	08-20-01	275945	-4,700.000	46.125		216,405.21	-238,329.20	-21,923.99			Safeway Inc @46.1252
SAL	08-21-01	275946	-2,000.000	46.259		92,354.51	-100,586.60	-8,232.09			Safeway Inc @46.2588
	TOTAL -		-35,450.000		540,619.80	2,115,755.06	-2,564,401.14	-448,648.08	0	0.00	
WPS	SYY	Sysco									
PUR	04-17-01	263852	1,900.000	26.992	51,437.56				0	0.00	SYSCO CORP @ 26.9924 51 285.56 BROKERAGE 152.00 NEUBERGER & BERMAN TRADE DATE 04
PUR	04-18-01	263855	2,050.000	27.281	56,090.05				0	0.00	SYSCO CORP @ 27.281 55 926.05 BROKERAGE 164.00 NEUBERGER & BERMAN TRADE DATE 04/
PUR	11-05-01	283831	3,700.000	25.040	92,944.00				3,700	92,944.00	SYSCO CORP @ 25.04 92 648.00 BROKERAGE 296.00 NEUBERGER & BERMAN TRADE DATE 11/
SAL	11-26-01	285243	-25,000.000	25.239		628,961.46	-665,979.90	-37,018.44			Sysco Corp @25.2393
	TOTAL -		-17,350.000		200,471.61	628,961.46	-665,979.90	-37,018.44	3,700	92,944.00	
WPS	VIAB	Viacom Non-Voting Common B									
SAL	01-03-01	248861	-24,100.000	47.069		1,132,385.03	-1,393,281.11	-260,896.08			VIACOM INC CL B NON-VOTING @ 47.0685 1 134 350.85 BROKERAGE 1 928.00 TAX &/OR S
PUR	05-01-01	266104	2,750.000	53.049	146,103.38				0	0.00	VIACOM INC CL B NON-VOTING @ 53.0483 145 883.38 BROKERAGE 220.00 NEUBERGER & BE
PUR	05-02-01	266107	5,700.000	53.613	306,050.67				0	0.00	VIACOM INC CL B NON-VOTING @ 53.6131 305 594.67 BROKERAGE 456.00 NEUBERGER & BE

04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	10-09-01	281083	-4,050.000	33.098		133,718.83	-216,336.91	-82,618.08			VIACOM INC CL B NON-VOTING @ 33.0981 413 726.25 BROKERAGE 1 000.00 TAX &/OR SEC
SAL	10-09-01	281083	-8,450.000	33.098		278,993.62	-452,154.05	-173,160.43			VIACOM INC CL B NON-VOTING @ 33.0981 413 726.25 BROKERAGE 1 000.00 TAX &/OR SEC
SAL	10-10-01	281085	-21,385.000	33.071		705,497.51	-1,110,479.63	-404,982.12			VIACOM INC CL B NON-VOTING @ 33.0714 707 231.89 BROKERAGE 1 710.80 TAX &/OR SEC
PUR	12-06-01	287177	10,000.000	47.737	478,167.00				10,000	478,167.00	VIACOM INC CL B NON-VOTING @ 47.7367 477 367.00 BROKERAGE 800.00 NEUBERGER & BER
TOTAL -			-39,535.000		930,321.05	2,250,594.99	-3,172,251.70	-921,656.71	10,000	478,167.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
UPS	VIAB	Viacom Non-Voting Common B	29,700.000 SHRS	45.063	1,338,379.63	44.150	12-31-01	441,500.00	-896,879.63

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
UPS	WWY	WM Wrigley Jr Co									
PUR	02-28-01	252462	4,975.000	92.595	461,059.12				9,950	461,059.12	WM Wrigley Jr Co @92.59520
SPLOV	03-06-01	256934	4,975.000		0.00				0	0.00	WM Wrigley Jr Co 2 for 1 split
PUR	03-07-01	256925	2,800.000	46.456	130,299.68				2,800	130,299.68	WM Wrigley Jr Co @46.4556
PUR	03-13-01	257242	6,700.000	47.109	316,166.30				6,700	316,166.30	WM Wrigley Jr Co @47.109
PUR	04-20-01	263862	5,000.000	45.500	227,900.00				5,000	227,900.00	WM WRIGLEY JR CO @ 45.50 227 500.00 BROKERAGE 400.00 NEUBERGER & BERMAN TRADE DA
TOTAL -			24,450.000		1,135,425.10	0.00	0.00	0.00	24,450	1,135,425.10	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
UPS	WWY	WM Wrigley Jr Co	24,450.000 SHRS	46.439	1,135,425.10	51.370	12-31-01	1,255,996.50	120,571.40

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	122,359,421.14	115,088,888.06	-126,803,933.38	-11,715,045.32	5,047,598	56,431,966.07

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

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2002

SELECTION: WITH INV
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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
WARGO	JPMSWEEP	J P Morgan Money Market Sweep									
SAL	01-03-01	249899	-219,664.670	1.000		219,664.67	-219,664.67	0.00			Prime Money Market Sweep Fund
SAL	01-04-01	249900	-924,559.060	1.000		924,559.06	-924,559.06	0.00			Prime Money Market Sweep Fund
SAL	01-08-01	249901	-1,021,466.250	1.000		1,021,466.25	-1,021,466.25	0.00			Prime Money Market Sweep Fund
SAL	01-09-01	249927	-2,647,400.620	1.000		2,647,400.62	-2,647,400.62	0.00			Prime Money Market Sweep Fund
	TOTAL -		-4,813,090.600		0.00	4,813,090.60	-4,813,090.60	0.00	0	0.00	
WARGO	LMCA	Liberty Media Corp CL A									
CNVTO	08-13-01	275612.1	2,000.000	16.383	32,765.00				2,000	32,765.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.2	4,000.000	15.898	63,590.00				4,000	63,590.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.3	5,000.000	15.508	77,537.50				5,000	77,537.50	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.4	10,000.000	15.654	156,538.00				10,000	156,538.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.5	13,000.000	15.483	201,280.30				13,000	201,280.30	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.6	15,000.000	16.476	247,144.50				15,000	247,144.50	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.7	10,000.000	16.977	169,766.00				10,000	169,766.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.8	30,000.000	16.748	502,425.00				30,000	502,425.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.9	11,000.000	15.843	174,277.40				11,000	174,277.40	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.10	5,500.000	14.677	80,724.05				5,500	80,724.05	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.11	5,000.000	13.695	68,475.00				5,000	68,475.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.12	3,000.000	13.508	40,522.50				3,000	40,522.50	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.13	44,000.000	13.956	614,081.60				44,000	614,081.60	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.14	15,000.000	13.415	201,231.00				15,000	201,231.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.15	15,000.000	14.020	210,300.00				15,000	210,300.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.16	30,000.000	14.150	424,512.00				30,000	424,512.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.17	15,000.000	12.952	194,286.00				15,000	194,286.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.18	3,000.000	11.008	33,022.50				3,000	33,022.50	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.19	50,000.000	13.370	668,500.00				50,000	668,500.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.20	38,000.000	14.195	539,410.00				38,000	539,410.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275612.21	5,000.000	12.684	63,420.00				5,000	63,420.00	AT&T Corp Liberty exchange
PUR	09-18-01	279323	1,000.000	12.093	12,162.70				1,000	12,162.70	Liberty Media Corp Cl A
PUR	09-28-01	279313	1,000.000	12.157	12,227.50				1,000	12,227.50	Liberty Media Corp
PUR	10-04-01	280841	1,000.000	13.140	13,210.00				1,000	13,210.00	Liberty Media Corp CL A

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ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -                  331,500.000               4,801,408.55           0.00          0.00          0.00    331,500 4,801,408.55

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE            COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      WARGO  LMCA      Liberty Media Corp CL A             264,500.000 SHRS      13.953    3,690,657.66     14.000 12-31-01   4,641,000.00     950,342.35

WARGO  LMCA      AT&T CRP - Liberty Media A
PUR   01-03-01    249896        38,000.000     14.125    539,410.00                                                       0         0.00  AT&T Corp Com Liberty Med. A
PUR   04-05-01    263062         5,000.000     12.614     63,420.00                                                       0         0.00  AT&T Corp Liberty Media Gp A
CNVPR 08-13-01    275612      -328,500.000     16.730                4,763,808.35  -4,763,808.35          0.00                              AT&T Corp Liberty exchange
                              --------------             ------------  ------------- --------------- ------------- ---------- ------------
      TOTAL -                 -285,500.000                602,830.00 4,763,808.35  -4,763,808.35          0.00          0         0.00

WARGO  LSATA     Liberty Satellite & Tech CL A
PUR   01-04-01    249913        25,000.000      3.472     88,547.50                                                  25,000    88,547.50  Liberty Satellite & Tech CL A
PUR   01-08-01    249915        15,000.000      3.813     58,237.50                                                  15,000    58,237.50  Liberty Satellite & Tech
PUR   04-05-01    263063         3,000.000      1.875      5,835.00                                                   3,000     5,835.00  Liberty Satellite & Tech Inc
PUR   04-05-01    263064         9,000.000      1.807     16,985.70                                                   9,000    16,985.70  Liberty Satellite & Tech Inc
PUR   04-18-01    263836        20,000.000      3.197     64,536.00                                                  20,000    64,536.00  Liberty Satellite & Tech CL A
PUR   04-19-01    263837        17,000.000      3.443     59,041.00                                                  17,000    59,041.00  Liberty Satellite & Tech CL A
PUR   09-18-01    278318         2,000.000      1.480      3,100.00                                                   2,000     3,100.00  Liberty Satellite & Technology
                              --------------             ------------  ------------- --------------- ------------- ---------- ------------
      TOTAL -                   91,000.000                296,282.70          0.00           0.00          0.00     91,000   296,282.70

WARGO  LSTTA     Liberty Satellite & Tech Inc A
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE            COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      WARGO  LSTTA     Liberty Satellite & Tech Inc A       19,100.000 SHRS      18.860      360,222.70                                         -360,222.70

WARGO  NLI       NTL Inc
SAL   01-29-01    251074       -18,000.000     37.566                  675,098.05    -663,012.50     12,085.55                              NTL Inc @37.566
                              --------------             ------------  ------------- --------------- ------------- ---------- ------------
      TOTAL -                  -18,000.000                      0.00   675,098.05    -663,012.50     12,085.55          0         0.00

WARGO  PSNR      P T Pasifik Satelite
PUR   09-28-01    279214           900.000      0.110         99.00                                                       0         0.00  P T Pasifik Satelit Nusantar
SAL   10-03-01    280831          -900.000      0.110                       99.00          -99.00          0.00                              To reverse purchase of 9/28/01
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-11-01

ENTITY	INVESTMENT	DESCRIPTION ..							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
	TOTAL -		0.000		99.00	99.00	-99.00	0.00	0	0.00	
WARGO	UCOMA	UnitedGlobalCom Inc CL A									
PUR	01-04-01	249918	103,000.000	16.314	1,680,331.70				103,000	1,680,331.70	United Global Com Inc CL A
PUR	01-22-01	249917	3,000.000	16.125	48,375.00				3,000	48,375.00	United Global Com Inc CL A
PUR	01-26-01	249920	5,000.000	15.325	76,625.00				5,000	76,625.00	United Global Com Inc CL A
PUR	01-29-01	251075	40,000.000	16.686	667,460.00				40,000	667,460.00	UnitedGlobalCom Inc @16.686
PUR	01-30-01	251076	20,000.000	18.339	366,780.00				20,000	366,780.00	UnitedGlobalCom Inc @18.339
PUR	02-26-01	252373	25,000.000	17.253	431,315.00				25,000	431,315.00	UnitedGlobalCom Inc CL A
PUR	03-29-01	260473	3,000.000	12.000	36,000.00				3,000	36,000.00	UnitedGlobalCom Inc Cl A
PUR	04-05-01	263065	15,000.000	9.964	150,502.50				15,000	150,502.50	UnitedGlobalCom Inc @9.9635
PUR	04-05-01	263066	10,000.000	9.375	93,750.00				10,000	93,750.00	UnitedGlobalCom Inc @9.375
PUR	04-05-01	263067	5,000.000	9.375	46,875.00				5,000	46,875.00	UnitedGlobalCom Inc @9.375
PUR	04-05-01	263068	5,000.000	9.594	47,968.75				5.000	47,968.75	UnitedGlobalCom Inc @9.59375
PUR	04-12-01	263069	15,000.000	11.004	166,114.50				15,000	166,114.50	UnitedGlobalCom Inc @11.0043
PUR	06-21-01	270526	12,000.000	7.888	94,651.20				12,000	94,651.20	UnitedGlobalCom Inc @7.8876
PUR	07-12-01	273005	15,000.000	6.220	93,300.00				15.000	93,300.00	United Global Com CL A @6.22
PUR	09-18-01	278319	2,000.000	3.010	6,020.00				2.000	6,020.00	UnitedGlobalCom Inc Cl A
PUR	09-28-01	279215	6,500.000	2.271	14,764.75				6,500	14,764.75	UnitedGlobalCom Inc
PUR	10-03-01	280840	2,000.000	1.410	2,820.00				2,000	2,820.00	UnitedGlobalCom Inc CL A
PUR	10-04-01	280842	4,000.000	0.800	3,200.00				4.000	3,200.00	UnitedGlobalCom Inc CL A
PUR	10-05-01	280843	5,000.000	0.930	4,650.00				5,000	4,650.00	UnitedGlobalCom Inc CL A
PUR	11-16-01	284795	40,000.000	1.606	64,240.00				40,000	64,240.00	UnitedGlobalCom Inc CL A @1.60
PUR	12-03-01	287098	27,000.000	3.064	82,728.00				27,000	82,728.00	UnitedGlobalCom Inc Cl A
PUR	12-04-01	287099	20,000.000	3.345	66,900.00				20,000	66,900.00	UnitedGlobalCom Inc Cl A
PUR	12-05-01	287100	12,000.000	3.330	39,960.00				12,000	35,960.00	UnitedGlobalCom Inc Cl A
PUR	12-06-01	287101	19,000.000	4.020	76,380.00				19,000	76,380.00	UnitedGlobalCom Inc Cl A
PUR	12-07-01	287102	30,000.000	4.424	132,720.00				30,000	132,720.00	UnitedGlobalCom Inc Cl A
PUR	12-13-01	287653	20,000.000	4.105	82,100.00				20,000	82,100.00	UnitedGlobalCom Inc CL A
PUR	12-14-01	288205	10,000.000	3.750	37,500.00				10,000	37,500.00	UnitedGlobalCom Inc Cl A
PUR	12-17-01	288206	5,000.000	3.000	15,000.00				5,000	15,000.00	UnitedGlobalCom Inc Cl A
PUR	12-18-01	288207	8,000.000	3.595	28,760.00				8,000	28,760.00	UnitedGlobalCom Inc Cl A
PUR	12-19-01	288208	6,500.000	3.760	24,440.00				6.500	24,440.00	UnitedGlobalCom Inc Cl A
PUR	12-21-01	288653	10,500.000	3.684	38,686.20				10,500	38,686.20	UnitedGlobalCom Inc @3.6844
PUR	12-27-01	288759	10,000.000	4.120	41,200.00				10,000	41,200.00	UnitedGlobalCom Inc @4.12
PUR	12-28-01	288802	25,000.000	4.930	123,250.00				25,000	123,250.00	UnitedGlobalCom Inc @4.93
PUR	12-31-01	288926	16,100.000	4.968	79,984.80				16,100	79,984.80	UnitedGlobalCom Inc @4.968

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                                                                        Market Street Trust Company
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PC3.3                                                                BOOK BASIS  -  FROM 01-01-01 TU 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                                  REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                   554,600.000              4,965,352.40           0.00            0.00          0.00     554,600  4,965,352.40

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      WARGO  UCOMA      UnitedGlobalCom Inc CL A      525,600.000 SHRS       8.430    4,431,013.10       5.000  12-31-01   2,773,000.00   -1,658,013.10

WARGO  USAI       USA Networks Inc
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      WARGO  USAI       USA Networks Inc               24,400.000 SHRS      29.038      708,524.30      21.625  06-30-00           0.00     -708,524.30

WARGO  VOD        Vodafone Group PLC-New A/D/R
PUR   01-03-01    249898          5,000.000     36.938     185,037.50                                                   5,000    185,037.50  Vodafone Group PLC
SAL   02-26-01    252377         -5,000.000     29.700                    160,248.64     -222,061.70    -61,813.06                           Vodafone Group PLC
PUR   05-02-01    266294          5,000.000     28.520     142,950.00                                                   5,000    142,950.00  Vodafone Group PLC @28.52
PUR   05-02-01    266298          1,000.000     27.830      27,830.00                                                   1,000     27,830.00  Vodafone Group PLC @27.83
PUR   09-18-01    278320            500.000     20.440      10,255.00                                                     500     10,255.00  Vodafone Group PLC
PUR   09-28-01    279216          1,250.000     21.903      27,466.63                                                   1,250     27,466.63  Vodafone Group PLC-NEW
                             --------------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                     7,750.000                393,539.13     160,248.64     -222,061.70    -61,813.06      12,750    393,539.13

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE            COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      WARGO  VOD        Vodafone Group PLC-New A/D/R  107,750.000 SHRS      36.573    3,940,757.43      25.680  12-31-01   2,767,020.00   -1,173,737.43

WARGO  WCII       Winstar Communications Inc
PUR   01-04-01    249909         30,000.000     16.607     498,213.00                                                       0          0.00  Winstar Communications
PUR   01-05-01    249916         40,000.000     17.458     698,332.00                                                       0          0.00  Winstar Comm. Inc
PUR   01-25-01    249919          5,000.000     17.625      88,125.00                                                       0          0.00  Winstar Comm. Inc
SAL   04-03-01    263060        -40,000.000      0.344                     13,749.54     -699,165.50   -685,415.96                           Winstar communications @.34375
SAL   05-11-01    266298        -35,000.000      0.041                      1,434.95     -585,504.50   -584,069.55                           Winstar Communications @.041
                             --------------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000              1,284,670.00      15,184.49   -1,284,670.00 -1,269,485.51           0          0.00

WARGO  WWCA       Western Wireless Corp CL A
PUR   01-03-01    249895          7,300.000     40.688     297,018.75                                                   7,300    297,018.75  Western Wireless Corp CL A
PUR   04-06-01    263070          2,000.000     36.750      73,500.00                                                   2,000     73,500.00  Western Wireless Corp Cl A
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION ..

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	08-08-01	275613	3,000.000	37.050	111,150.00				3,000	111,150.00	Western Wireless Corp CL A
PUR	09-18-01	278321	500.000	29.550	14,775.00				500	14,775.00	Western Wireless Corp CL A
PUR	09-28-01	279218	1,750.000	33.630	58,852.50				1,750	58,852.50	Western Wireless Corp
PUR	12-05-01	287103	2,000.000	24.400	48,800.00				2,000	48,800.00	Western Wireless Corp Cl A
	TOTAL -		16,550.000		604,096.25	0.00	0.00	0.00	16,550	604,096.25	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
WARGO WWCA	Western Wireless Corp CL A	130,225.000 SHRS	37.054	4,825,330.12	28.250	12-31-01	3,368,106.25	-1,457,223.87

WARGO	XOXO	XO Communications Inc CL A									
PUR	01-04-01	249911	60,000.000	23.141	1,388,436.00				0	0.00	XO Comm. Inc CL A
PUR	04-18-01	263838	105,000.000	3.662	384,552.00				0	0.00	XO Communications Inc CL A
PUR	04-19-01	263840	15,000.000	3.517	52,750.50				0	0.00	XO Communications Inc CL A
PUR	05-02-01	266296	150,000.000	4.516	677,460.00				0	0.00	XO Communications @4.5164
PUR	05-09-01	266297	10,000.000	3.690	36,900.00				0	0.00	[redacted] Communications @3.69
PUR	09-18-01	278322	2,000.000	0.990	1,980.00				0	0.00	XO Communications Inc CL A
SAL	12-18-01	288209	-50,000.000	0.115		5,749.80	-1,157,030.00	-1,151,280.20			XO Communications Inc CL A
SAL	12-19-01	288211	-100,000.000	0.101		10,049.66	-637,882.00	-627,832.34			XO Communications Inc CL A
SAL	12-21-01	288652	-50,000.000	0.111		5,539.81	-225,820.00	-220,280.19			XO Communications @0.1108
SAL	12-27-01	288758	-100,000.000	0.088		8,799.70	-375,056.00	-366,256.30			XO Communications @0.088
SAL	12-28-01	289802	-42,000.000	0.083		3,317.94	-146,290.50	-142,972.56			XO Communications @0.083
	TOTAL -		0.000		2,542,078.50	33,456.91	-2,542,078.50	-2,508,621.59	0	0.00	
REPORT TOTAL -					15,490,356.53	10,460,986.04	-14,288,820.65	-3,827,834.61	1,006,400	11,060,679.03	

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

04-23-02
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SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92500	BCVIII	Boston Capital Ventures III									
ICA	07-02-01	272789			10,097.00						ADJ BEG BAL-PUR
SAL	07-12-01	272530	0.000	0.000		13,282.50	-13,282.50	0.00			Ret. of Cap. fm BCVIII dist.
SAL	07-13-01	272519	0.000	0.000		29,227.00	-29,227.00	0.00			Ret. of Cap. fm BCVIII dist.
SAL	07-26-01	273449	0.000	0.000		6,198.50	-6,198.50	0.00			Ret of Cap - BCVIII stock dist
SAL	08-01-01	274712	0.000	0.000		5,313.00	-5,313.00	0.00			Ret. of Cap.-BCVIII stock dist
	TOTAL -		0.000		10,097.00	54,021.00	-54,021.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500	BCVIII	Boston Capital Ventures III	0.000	DLRS	0.000	463,806.26	0.930	07-31-05	152,278.00	-311,528.26

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92500	BEAS	BEA Sys Inc									
SAL	01-12-01	250839	-195.000	60.375		11,772.73	-642.57	11,130.16			Bea Systems @60.375
	TOTAL -		-195.000		0.00	11,772.73	-642.57	11,130.[illegible]	0	0.00	
92500	CAFIP	MSTC Fixed Income Trust I									
IIC	01-19-01	248552*143			-481.25						INCOME
IIN	01-31-01	250789*143			762.60						EQUITY INCOME
IIC	02-21-01	251150*143			-755.00						INCOME
IIN	02-28-01	255477*130			576.47						EQUITY INCOME
IIC	03-15-01	255792*130			-533.80						INCOME
IIN	03-31-01	261786*136			547.40						EQUITY INCOME
IIC	04-17-01	261966*136			-438.38						INCOME
IIN	04-30-01	265310*131			493.55						EQUITY INCOME
IIC	05-16-01	265915*131			-577.07						INCOME
IIN	05-31-01	268222*112			581.01						EQUITY INCOME
IIC	06-14-01	268630*112			-429.32						INCOME
IIN	06-30-01	271945*111			575.04						EQUITY INCOME
PUR	07-02-01	272432*2	0.000	0.000	50,000.00				0	49,704.08	7/2 MSFIT I capital contri.
ICA	07-02-01	272787			-826.00						ADJ BEG BAL-PUR
IIC	07-16-01	272340*111			-495.37						INCOME

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IIN	07-31-01	274609*112			960.90						EQUITY INCOME
IIC	08-14-01	274992*112			-974.56						INCOME
IIN	08-31-01	277047*112			814.60						EQUITY INCOME
IIC	09-18-01	277881*112			-748.96						INCOME
IIN	09-30-01	280163*109			719.46						EQUITY INCOME
IIC	10-15-01	280574*109			-556.30						INCOME
IIN	10-31-01	283335*109			1,040.21						EQUITY INCOME
IIC	11-15-01	283520*109			-802.66						INCOME
IIN	11-30-01	286279*110			947.49						EQUITY INCOME
IIC	12-14-01	286778*110			-539.73						INCOME
IIN	12-31-01	289497*109			823.78						EQUITY INCOME
	TOTAL -		0.000		50,684.10	0.00	0.00	0.00	0	49,704.08	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500	CAFIP	MSTC Fixed Income Trust I	0.000 DLRS	0.000	139,736.49	1.000	03-31-96	170,132.45	30,395.96

92500 JPMSWEEP J P Morgan Money Market Sweep

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-09-01	248723	11,787.380	1.000	11,787.38				0	0.00	Prime Money Market Sweep Fund
SAL	01-18-01	248724	-166.750	1.000		166.75	-166.75	0.00			Prime Money Market Sweep Fund
PUR	01-24-01	249598	7,552.590	1.000	7,552.59				0	0.00	Prime Money Market Sweep Fund
PUR	01-29-01	249727	28,264.610	1.000	28,264.61				0	0.00	Prime Money Market Sweep Fund
PUR	02-06-01	251641	18,123.290	1.000	18,123.29				0	0.00	Prime Money Market Sweep Fund
PUR	02-26-01	252256	19,174.870	1.000	19,174.87				0	0.00	Prime Money Market Sweep Fund
SAL	03-29-01	259278	-1,024,849.740	1.000		1,024,849.74	-1,024,849.74	0.00			Prime Money Market Sweep Fund
SAL	03-29-01	259278	-655,827.260	1.000		655,827.26	-655,827.26	0.00			Prime Money Market Sweep Fund
PUR	04-02-01	262949	11,772.730	1.000	11,772.73				0	0.00	Prime Money Market Sweep Fund
PUR	04-06-01	262950	6,153.360	1.000	6,153.36				0	0.00	Prime Money Market Sweep Fund
PUR	04-16-01	262951	6,671.360	1.000	6,671.36				0	0.00	Prime Money Market Sweep Fund
SAL	04-18-01	262952	-166.750	1.000		166.75	-166.75	0.00			Prime Money Market Sweep Fund
PUR	05-15-01	266462	6,534.830	1.000	6,534.83				0	0.00	Prime Money Market Sweep Fund
PUR	05-29-01	268280	31,534.150	1.000	31,534.15				0	0.00	Prime Money Market Sweep Fund
PUR	07-09-01	274510	41,588.710	1.000	41,588.71				0	0.00	Prime MM Sweep Fund
PUR	07-16-01	273069	93,521.000	1.000	93,521.00				0	0.00	Prime MM Sweep Fund
SAL	07-18-01	273070	-166.750	1.000		166.75	-166.75	0.00			Prime MM Sweep Fund
PUR	08-07-01	274710	6,150.520	1.000	6,150.52				0	0.00	Prime MM Sweep Fund

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                                                                            Market Street Trust Company
04-23-02                                                                 PURCHASE / SALE DETAIL HISTORY REPORT
FC1.3                                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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SAL   08-09-01     274711       -50,000.000      1.000                    50,008.00      -50,000.00          0.00                            Prime MM Sweep fund
PUR   08-14-01     275586       115,982.090      1.000    115,987.09                                                   16,072     16,072.08  Prime MM Sweep Funds
PUR   08-24-01     275932        28,412.040      1.000     28,412.04                                                   28,412     28,412.04  Prime MM Sweep Fund
PUR   10-03-01     280764         6,626.460      1.000      6,626.46                                                    6,626      6,626.46  Prime MM Sweep Fund
SAL   10-18-01     281702          -166.750      1.000                       166.75         -166.75          0.00                            Prime MM Sweep Fund
PUR   10-30-01     282832         4,868.350      1.000      4,868.35                                                    4,868      4,868.36  Prime MM Sweep Fund
SAL   12-14-01     287764      -250,000.000      1.000                   250,000.00     -250,000.00          0.00                            Prime MM Sweep Fund
SAL   12-20-01     288181        -2,336.810      1.000                     2,336.81       -2,336.81          0.00                            Prime MM Sweep Fund
                             ----------------           ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                -1,539,962.470               443,718.34   1,983,680.81   -1,983,680.81          0.00      55,979     55,978.93

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      92500  JPMSWEEP   J P Morgan Money Market Sweep     90,867.510 UNTS       1.000      90,867.61      1.000  12-31-01       55,978.93      -34,888 [illegible]

92500  PCPV       Paul Capital Partners V, LP
SAL   01-09-01     248717             0.000      0.000                     5,422.19       -5,422.19          0.00                            Return of Cap -PCPV cash dist.
SAL   01-29-01     249719             0.000      0.000                     4,301.14       -4,301.14          0.00                            Ret. of Cap. - PCPV cash dist.
SAL   02-26-01     251926             0.000      0.000                     6,619.46       -6,519.46          0.00                            Ret. of Cap fm PCPV cash dist.
SAL   04-06-01     262962             0.000      0.000                     2,628.21       -2,628.21          0.00                            Return of Cap.-PCPV cash dist
SAL   04-16-01     263998             0.000      0.000                       274.16         -274.16          0.00                            Return of cap-PCPV cash dist.
SAL   04-16-01     263999             0.000      0.000                     6,397.20       -6,397.20          0.00                            Cash dist PCPV working cap res
SAL   05-15-01     266461             0.000      0.000                     2,287.19       -2,287.19          0.00                            Return of Cap -PCPV cash dist.
SAL   05-29-01     266746             0.000      0.000                    14,821.05      -14,821.05          0.00                            Return of Cap - PCPV cash dist
ICA   07-02-01     272790                                    152,105.00                                                                    ADJ BEG BAL PUR
SAL   07-09-01     272501             0.000      0.000                    36,598.06      -36,598.06          0.00                            Ret. of Cap. fm PCPV cash dist
SAL   08-07-01     274705             0.000      0.000                     6,150.52       -6,150.52          0.00                            Return of Cap.-PCPV cash dist.
SAL   10-02-01     280758             0.000      0.000                     6,626.46       -6,626.46          0.00                            Cash dist - Paul Capital V
SAL   10-29-01     282531             0.000      0.000                     4,868.35       -4,868.35          0.00                            Cash distr. - Paul Capital V
PUR   11-20-01     287534             0.000      0.000      3,115.74                                                        0      3,115.74  Correct PCPV 10/29 cash distr.
PUR   12-20-01     287537             0.000      0.000      3,512.02                                                        0      3,512.02  Correct PCPV cash dist 10/02
                             ----------------           ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000               158,732.76      96,893.99      -96,893.99          0.00           0      6,627.76

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      92500  PCPV       Paul Capital Partners V, L[illegible]        0.000 DLRS       0.000     389,529.94                        506,668.00      117,138.06
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                                                           Market Street Trust Company
04-23-03                                              PURCHASE / SALE DETAIL HISTORY REPORT                                          PAGE 4
FC3.3                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY  COST BASIS DESCRIPTION
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92500  Pierpont   J.P. Morgan Funds
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE         COST      PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      92500  Pierpont   J.P. Morgan Funds                11,048.060 UNTS      1.000      11,048.06     1.000 12-31-01    11,048.06          0.00

92500  TRDO       Intrado Inc
PUR   07-12-01    272531           4,125.000    3.220    13,282.50                                                        0       0.00 Stock dist. fm BCV III-Intrado
SAL   07-24-01    273445          -4,125.000   19.000                 78,042.38    -13,282.50    64,759.88                           Sale of Intrado Inc @19.00
PUR   07-26-01    273450           1,925.000    3.220     6,198.50                                                        0       0.00 Intrado stock dist. fm BCV III
SAL   07-27-01    273451          -1,925.000   19.790                 37,939.71     -6,198.50    31,741.21                           Sale of Intrado Inc @19.7896
PUR   08-01-01    274713           1,650.000    3.220     5,313.00                                                        0       0.00 Purchase Intrado fm stock dist
SAL   08-07-01    274714          -1,660.000   17.300                 28,412.04     -5,313.00    23,099.04                           Sale of Intrado Inc @17.30
                               --------------          ------------ ------------ ------------- ------------ ---------- ----------
      TOTAL -                          0.000          [illegible],794.00   144,394.13    -24,794.00   119,600.13          0       0.00


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  REPORT TOTAL -                                         688,026.20 2,290,762.66 -2,160,032.37   130,730.29     55,979 112,310.77
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                                                                              Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                                       PAGE 1
FC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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92500B ARQL       ArQule Inc
PUR   05-08-01     266494           3,333.000       4.790     15,968.07                                                       0          0.00 Purchase of ArQule fm distri.
SAL   05-10-01     266843          -3,333.000      16.390                   54,622.19      -15,965.07     38,657.12                         Sale of Arqule @16.39
                                 ------------             ------------- ------------- --------------- -------------  ------------ -------------
      TOTAL -                           0,000                 15,965.07     54,622.19      -15,968.07     38,657.12             0          0.00

92500B BECGF      BCE Emergis Inc
PUR   06-28-01     271044           4,214.000       1.451      6,115.00                                                       0          0.00 6/28 BCE Emergis purchase
SAL   07-05-01     272486          -4,214.000      24.990                  104,968.91       -6,115.00     98,853.91                         Sale of BCE Emergis Inc
                                 ------------             ------------- ------------- --------------- -------------  ------------ -------------
      TOTAL -                           0.000                  6,115.00    104,968.91       -6,125.00     98,851.91             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE            COST        PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      92500B BECGF      BCE Emergis Inc                 3,791.000 SHRS        4.483       16,995.21       28.628  12-31-01     108,528.75       91,533.64

92500B BMP        Boston Millennia Partners LP
SAL   01-03-01     248738               0.000       0.000                   29,372.04      -29,372.04          0.00                         Return of Cap. - BMP cash dist
SAL   01-11-01     248741               0.000       0.000                   18,058.36      -18,058.36          0.00                         Return of Cap. - BMP cash dist
ICA   07-02-01     272797                                  -122,375.00                                                                      ADJ BEG BAL-PUR
                                 ------------             ------------- ------------- --------------- -------------  ------------ -------------
      TOTAL -                           0.000              -122,375.00     47,430.40      -47,430.40          0.00             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE            COST        PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      92500B BMP        Boston Millennia Partners LP        0.000 DLRS        0.000    1,441,845.46                          1,216,885.00     -224,960.46

92500B CAFIF      MSTC Fixed Income Trust I
IIC   01-19-01  248552*144                                  -18,910.19                                                                      INCOME
IIN   01-31-01  250789*144                                   29,965.02                                                                      EQUITY INCOME
IIC   02-21-01  251150*144                                  -29,666.42                                                                      INCOME
IIN   02-28-01  255477*131                                   22,651.50                                                                      EQUITY INCOME
SAL   03-02-01    256882*6              0.000       0.000                  250,000.00     -250,000.00          0.00                         3/2 MSFIT I Capital wthdrwl
IIC   03-15-01  255792*131                                  -20,974.68                                                                      INCOME
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IIN	03-31-01	261786*137			20,370.99						EQUITY INCOME
SAL	04-02-01	265158*14	0.000	0.000		1,300,000.00	-1,300,000.00	0.00			4/2 MSFIT I Capital wthdrwl
IIC	04-17-01	261956*137			-16,313.87						INCOME
IIN	04-30-01	265310*132			13,060.98						EQUITY INCOME
IIC	05-16-01	265915*132			-15,259.61						INCOME
IIN	05-31-01	268222*113			15,363.79						EQUITY INCOME
IIC	06-14-01	268630*113			-11,352.55						INCOME
IIN	06-30-01	271945*112			15,205.95						EQUITY INCOME
ICA	07-02-01	272794			-235,805.00						ADJ BEG BAL-PUR
IIC	07-16-01	272340*112			-13,099.15						INCOME
IIN	07-31-01	274509*113			17,933.30						EQUITY INCOME
IIC	08-14-01	274991*113			-18,180.14						INCOME
IIN	08-31-01	277047*113			15,202.82						EQUITY INCOME
IIC	09-18-01	277881*113			-13,977.78						INCOME
IIN	09-30-01	280163*110			13,427.06						EQUITY INCOME
IIC	10-15-01	280574*110			-10,382.28						INCOME
IIN	10-31-01	283335*110			19,413.38						EQUITY INCOME
IIC	11-15-01	283510*110			-14,979.94						INCOME
IIN	11-30-01	286279*111			17,683.03						EQUITY INCOME
SAL	12-03-01	286948*56	0.000	0.000		600,000.00	-600,000.00	0.00			12/3 MSFIT I Capital wthdrwl
IIC	12-14-01	286778*111			-10,073.00						INCOME
IIN	12-31-01	289497*110			12,484.89						EQUITY INCOME
	TOTAL -		0.000		-216,229.90	2,150,000.00	-2,150,000.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B CAFIF	MSTC Fixed Income Trust I	0.000	DLRS	0.000	2,186,238.28	1.000	03-31-96	2,578,441.64	392,203.36

92500B CHL CHL Medical Partners LP

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-18-01	248726	0.000	0.000	50,000.00				0	47,617.46	Capital call - CHL Medical L.P
SAL	05-08-01	266493	0.000	0.000		15,965.07	-15,965.07	0.00			Return of Cap-CHL stock dist.
SAL	05-08-01	266495	0.000	0.000		13,615.95	-13,615.95	0.00			Return of Cap-CHL stock dist.
ICA	07-02-01	272798			-34,017.00						ADJ BEG BAL-PUR
SAL	08-22-01	275833	0.000	0.000		11,384.25	-11,384.25	0.00			Ret. of Cap. - CHL stock dist.
PUR	09-27-01	278957	0.000	0.000	75,000.00				0	75,000.00	CHL Medical Part. Capital call

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FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		90,983.00	40,965.27	-40,965.27	0.00	0	122,617.46	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B CHL	CHL Medical Partners LP	0.000	DLRS	0.000	743,480.73			851,546.00	108,065.27

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92500B DRRX	Durect Corporation										
PUR	05-08-01	266496	6,333.000	2.150	13,615.95				0	0.00	Purchase of Durect fm distri.
SAL	05-10-01	266844	-6,333.000	7.830		49,581.88	-13,615.95	35,965.93			Sale of Durect Corp @7.83
PUR	08-22-01	276836	5,295.000	2.150	11,384.25				0	0.00	Durect Corp. stock dist fm CHL
SAL	08-23-01	276089	-5,295.000	9.279		49,132.78	-11,384.25	37,748.53			Sale of Durect Corp @9.2794
	TOTAL -		0.000		25,000.20	98,714.66	-25,000.20	73,714.46	0	0.00	
92500B ECPIV	Exeter Capital Partners IV, LP										
SAL	05-15-01	266552	0.000	0.000		167,909.00	-167,909.00	0.00			Return of Cap fm Exeter distr.
ICA	07-02-01	272795			82,588.00						ADJ BEG BAL-PUR
	TOTAL -		0.000		82,588.00	167,909.00	-167,909.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B ECPIV	Exeter Capital Partners IV, LP	0.000	DLRS	0.000	1,913,120.00			1,913,120.00	0.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92500B HOTJ	Hot Jobs										
SAL	07-17-01	273176	-2,279.000	11.706		26,526.17	-9,389.48	17,136.69			7/17 Sale of Hot Jobs @11.7056
	TOTAL -		-2,279.000		0.00	26,526.17	-9,389.48	17,136.69	0	0.00	
92500B INTERSOUTH	Intersouth Partners										
SAL	04-02-01	265332	0.000	0.000		200,000.00	-200,000.00	0.00			To correct Capital Call invest
	TOTAL -		0.000		0.00	200,000.00	-200,000.00	0.00	0	0.00	
92500B ISPIV	Intersouth Partners IV										
PUR	03-08-01	256145	0.000	0.000	200,000.00				0	197,345.28	Capital call - Intersouth IV
PUR	04-02-01	265333	0.000	0.000	200,000.00				0	197,345.28	To correct Capital Call invest

04-23-02
FC3.3

Market Street Trust Company
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ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	05-01-01	267532	0.000	0.000		31,915.19	-31,915.19	0.00			Return of Cap. fm ISPIV distr.
SAL	06-28-01	271041	0.000	0.000		6,115.00	-6,115.00	0.00			Return of Cap-ISPIV stock dist
SAL	06-28-01	271042	0.000	0.000		33,727.00	-33,727.00	0.00			Return of Cap-ISPIV stock dist
SAL	06-28-01	271043	0.000	0.000		12,251.00	-12,251.00	0.00			Return of Cap-ISPIV stock dist
ICA	07-02-01	272796			-19,076.00						ADJ BEG BAL-PUR
PUR	10-09-01	280773	0.000	0.000	100,000.00				0	100,000.00	Capital call - Intersouth IV
	TOTAL -		0.000		480,924.00	84,008.19	-84,008.19	0.00	0	494,690.56	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B ISPIV	Intersouth Partners IV	0.000	DLRS	0.000	1,518,060.72			1,228,430.00	-289,630.72

92500B JPMSWEEP J P Morgan Money Market Sweep

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-04-01	248730	82,013.750	1.000	82,013.75				0	0.00	Prime Money Market Sweep Funds
SAL	01-10-01	248733	-100,000.000	1.000		100,000.00	-100,000.00	0.00			Prime Money Market Sweep Fund
PUR	01-11-01	248731	64,024.660	1.000	64,024.66				0	0.00	Prime Money Market Sweep Funds
SAL	01-18-01	248734	-50,000.000	1.000		50,000.00	-50,000.00	0.00			Prime Money Market Sweep Fund
PUR	01-23-01	249608	194,947.010	1.000	194,947.01				0	0.00	Prime Money Market Sweep Fund
PUR	01-31-01	249880	14,248.940	1.000	14,248.94				0	0.00	Prime Money Market Sweep Fund
SAL	02-23-01	252267	-89,093.530	1.000		89,093.53	-89,093.53	0.00			Prime Money Market Sweep Fund
PUR	02-28-01	252268	11,514.220	1.000	11,514.22				0	0.00	Prime Mopney Market Sweep Fund
PUR	03-02-01	256146	250,000.000	1.000	250,000.00				0	0.00	Prime Money Market Sweep Fund
SAL	03-08-01	256147	-200,000.000	1.000		200,000.00	-200,000.00	0.00			Prime Money Market Sweep Funds
PUR	03-16-01	257224	16,446.880	1.000	16,446.88				0	0.00	Prime Money Market Sweep Funds
SAL	03-20-01	257227	-313,168.000	1.000		313,168.00	-313,168.00	0.00			Prime Money Market Sweep Fund
SAL	03-23-01	259336	-27,000.000	1.000		27,000.00	-27,000.00	0.00			Prime Money Market Sweep Fund
SAL	03-29-01	259340	-2,272,290.950	1.000		2,272,290.95	-2,272,290.95	0.00			Prime Money Market Sweep Fund
PUR	04-02-01	262972	700,000.000	1.000	700,000.00				0	0.00	Prime Money Market Sweep Fund
PUR	05-15-01	266555	167,909.000	1.000	167,909.00				0	0.00	Prime Money Market Sweep Fund
PUR	06-22-01	267129	13,872.300	1.000	13,872.30				0	0.00	Prime MMoney Market Sweep Fund
PUR	06-25-01	271967	9,369.260	1.000	9,369.26				0	0.00	Prime MM Sweep Fund
PUR	07-11-01	272480	52,150.610	1.000	52,150.61				0	0.00	Prime MM Sweep Fund
PUR	07-17-01	273076	82,525.290	1.000	82,525.29				0	0.00	Prime MM Sweep Fund
PUR	07-18-01	273077	18,897.470	1.000	18,897.47				0	0.00	Prime MM Sweep Fund
PUR	07-23-01	273440	26,531.560	1.000	26,531.56				0	0.00	Prime MM Sweep Fund
SAL	07-24-01	273442	-5.390	1.000		5.39	-5.39	0.00			Prime MM Sweep Fund

ENTITY INVESTMENT DESCRIPTION...

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	07-25-01	273441	154,242.290	1.000	154,242.29				0	0.00	Prime MM Sweep Fund
SAL	08-15-01	275591	-30,000.000	1.000		30,000.00	-30,000.00	0.00			Prime MM Sweep Fund
PUR	08-17-01	275592	104,968.910	1.000	104,968.91				0	0.00	Prime MM Sweep fund
PUR	09-25-01	278956	11,039.090	1.000	11,039.09				0	0.00	Prime MM Sweep Fund
SAL	09-27-01	278958	-75,000.000	1.000		75,000.00	-75,000.00	0.00			Prime MM Sweep Fund
SAL	10-04-01	280769	-20,148.270	1.000		20,148.27	-20,148.27	0.00			Prime MM Sweep Fund
SAL	10-09-01	280770	-100,000.000	1.000		100,000.00	-100,000.00	0.00			Prime MM Sweep Fund
SAL	10-10-01	280771	-100,000.000	1.000		100,000.00	-100,000.00	0.00			Prime MM Sweep Fund
PUR	10-17-01	281703	20,411.600	1.000	20,411.60				0	0.00	Prime MM sweep Fund
PUR	10-23-01	282198	104,403.000	1.000	104,403.00				0	0.00	Prime MM Sweep Fund
SAL	11-28-01	285257	-100,000.000	1.000		100,000.00	-100,000.00	0.00			Prime MM Sweep Fund
PUR	12-03-01	287111	600,000.000	1.000	600,000.00				242,901	242,901.47	Prime MM Sweep Fund
SAL	12-07-01	287113	-40,372.550	1.000		40,372.55	-40,372.55	0.00			Prime MM Sweep fund
SAL	12-14-01	287766	-1,100,000.000	1.000		1,100,000.00	-1,100,000.00	0.00			Prime MM Sweep fund
PUR	12-18-01	287765	9,191.830	1.000	9,191.83				9,192	9,191.83	Prime MM Sweep Fund
SAL	12-19-01	287768	-256,668.000	1.000		256,668.00	-256,668.00	0.00			Prime MM Sweep Fund
SAL	12-20-01	288103	-1,224.700	1.000		1,224.70	-1,224.70	0.00			Prime MM Sweep Fund
	TOTAL -		-2,166,263.720		2,708,707.67	4,874,971.39	-4,874,971.39	0.00	252,093	252,093.30	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B JPMSWEEP	J P Morgan Money Market Sweep	228,902.170	UNTS	1.000	228,902.17	1.000	12-31-01	252,093.30	23,191.13

92500B LabV Labrador Ventures IV LP

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-10-01	248727	0.000	0.000	100,000.00				0	94,274.05	Capital call - Lab. Venture IV
PUR	02-23-01	252270	0.000	0.000	100,000.00				0	94,274.05	Capital Call-Labrador Ventures
ICA	07-02-01	272801			-45,707.00						ADJ BEG BAL-PUR
PUR	10-10-01	280774	0.000	0.000	100,000.00				0	100,000.00	Capital call - Labrador Vent.
	TOTAL -		0.000		254,293.00	0.00	0.00	0.00	0	288,548.10	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B LabV	Labrador Ventures IV LP	0.000	DLRS	0.000	852,536.00			805,109.00	-47,427.00

92500B MEGUNFUND2 The Megunticook Fund II, L.P.

Market Street Trust Company
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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ICA	07-02-01	272803			-25,249.00						ADJ BEG BAL-PUR
PUR	11-28-01	285255	0.000	0.000	85,000.00				0	85,000.00	Capital call-Megunticook Fd II
	TOTAL -		0.000		59,751.00	0.00	0.00	0.00	0	85,000.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
925008 MEGUNFUND2 The Megunticook Fund II, L.P.	0.000	DLRS	0.000	484,751.00			233,612.00	-251,139.00

925008 MEGUNPSFD2 Megunticook Side Fd Part's II

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ICA	07-02-01	272802			-1,898.00						ADJ BEG BAL-PUR
PUR	08-15-01	276593	0.000	0.000	30,000.00				0	30,000.00	Cap call-Megunticook Side II
PUR	11-28-01	285256	0.000	0.000	15,000.00				0	15,000.00	Cap. call-Megunticook Side Fd
	TOTAL -		0.000		43,102.00	0.00	0.00	0.00	0	45,000.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
925008 MEGUNPSFD2 Megunticook Side Fd Part's II	0.000	DLRS	0.000	88,102.00			50,532.00	-37,570.00

925008 PCP-ASSOC PCP Associates LP

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	01-30-01	249716	0.000	0.000		10,393.34	-10,393.34	0.00			Ret of Cap-PCP-Assoc cash dist
SAL	02-12-01	251645	0.000	0.000		1,417.84	-1,417.84	0.00			Ret. of Cap. fm PCP cash dist.
SAL	02-27-01	252066	0.000	0.000		5,641.97	-5,641.97	0.00			Ret. of Cap fm PCP cash distr.
SAL	03-06-01	256129	0.000	0.000		8,716.85	-8,716.85	0.00			Ret of Cap-PCP Assoc cash dist
PUR	03-20-01	257226	0.000	0.000	313,168.00				0	338,115.22	Capital Call - PCP-Associates
SAL	05-01-01	266470	0.000	0.000		10,555.01	-10,555.01	0.00			Return of Cap-PCP-Assoc. dist
SAL	06-18-01	269613	0.000	0.000		5,808.94	-5,808.94	0.00			Return of Cap-PCP-Assoc distr.
ICA	07-02-01	272799			82,170.00						ADJ BEG BAL-PUR
SAL	07-11-01	272828	0.000	0.000		15,960.94	-15,960.94	0.00			Ret. of Cap. fm PCP Assoc dist
SAL	09-11-01	278117	0.000	0.000		11,039.09	-11,039.09	0.00			PCP-Assoc. cash distribution
SAL	10-15-01	280778	0.000	0.000		20,411.60	-20,411.60	0.00			Cash distr. - PCP-Associates
SAL	10-23-01	282197	0.000	0.000		104,403.00	-104,403.00	0.00			PCP-Associates return of cap.
SAL	12-05-01	287108	0.000	0.000		7,353.46	-7,353.46	0.00			Return of Cap - PCP Assoc dist
PUR	12-19-01	287769	0.000	0.000	256,668.00				0	256,668.00	Capital call - PCP-Associates
PUR	12-20-01	287531	0.000	0.000	3,878.20				0	3,878.20	To correct PCP-Assoc 10/15 dis

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ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING   REMAINING
TYPE TXN DATE TXN NUMBER            QUANTITY      PRICE  COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY  COST BASIS DESCRIPTION
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     TOTAL -                           0.000              655,884.20    201,692.04    -201,692.04         0.00          0  598,661.42

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
     92500B PCP-ASSOC  PCP Associates LP                   . 6.000 UNTS        0.000   1,421,024.65                        1,048,409.00     -172,615.65

92500B PDGM       Paradigm Genetics Inc
SAL   01-23-01     249604           -17,607.000     11.073                 194,947.01     -14,085.87   180,861.14                           Sale of Paradigm Genetics
PUR   05-01-01     267531            39,894.000      0.800   31,916.19                                                39,894   31,915.19 Paradigm Genetics stock distr.
PUR   06-28-01     271045            21,704.000      1.554   33,727.00                                                     0        0.00 6/28 Paradigm Genetics purch.
SAL   07-05-01     272484            -1,112.000      7.340                   8,072.85      -1,728.00     6,344.85                           Sale of Paradigm Genetics
SAL   07-06-01     272485           -20,592.000      7.179                 146,169.44     -31,999.00   114,170.44                           Sale of Paradigm Genetics
                                    -----------              ------------ ------------ --------------- ------------  ---------  -----------
     TOTAL -                         22,287.000               65,642.19    349,189.30     -47,812.87   301,376.43     39,894   31,915.19

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
     92500B PDGM       Paradigm Genetics Inc           39,894.000 SHRS        0.800      31,915.19      5.700 12-31-01     227,395.80      195,480.61

92500B SEBL       Siebel Systems Inc
PUR   04-28-01     271046             1,809.000      6.772   12,251.00                                                     0        0.00 6/28 Siebel Systems purchase
SAL   07-05-01     272489            -1,809.000     45.701                  82,525.29     -12,251.00    70,274.29                           Sale of Siebel Systems Inc
                                    -----------              ------------ ------------ --------------- ------------  ---------  -----------
     TOTAL -                               0.000              12,251.00     82,525.29     -12,251.00    70,274.29          0        0.00

92500B TIBX       Tibco Software Inc
PUR   07-02-01     272579             1,778.000      9.671   17,195.30                                                 1,778   17,195.30 To correct Tibco shrs of 9/00
SAL   07-02-01     272578            -1,788.000      9.617                  17,196.30     -17,195.30         0.00                           To correct Tibco shrs of 9/00
                                    -----------              ------------ ------------ --------------- ------------  ---------  -----------
     TOTAL -                             -10.000              17,195.30     17,195.30     -17,195.30         0.00      1,778   17,195.30

92500B ZNM        ZN Mexico Trust
PUR   03-22-01     259330                 0.000      0.000   27,000.00                                                     0   25,807.33 Capital Call - ZN Mexico
ICA   07-02-01     272800                                   -33,924.00                                                                  ADJ BEG BAL-PUR
PUR   07-11-01     272481                 0.000      0.000   52,145.21                                                     0   52,145.21 Capital call - ZN Mexico
PUR   10-04-01     280772                 0.000      0.000   69,281.05                                                     0   69,281.05 Capital call - ZNM Mexico
PUR   12-07-01     287114                 0.000      0.000   40,372.58                                                     0   40,372.59 ZN Mexico Capital call
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		154,874.81	0.00	0.00	0.00	0	187,806.14	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500B	ZRM	2M Mexico Trust	0.000	DLRS	0.000	895,860.81			811,501.00	-84,359.81

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	4,334,671.64	8,500,718.11	-7,900,705.21	600,012.90	293,765	2,123,327.47

04-23-02
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
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ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
92500C	CAFIP	MSTC Fixed Income Trust I									
IIC	01-19-01	248553*145			-31,793.69						INCOME
IIN	01-31-01	250789*145			34,534.21						EQUITY INCOME
SAL	02-01-01	251552*1	0.000	0.000		60,000.00	-60,000.00	0.00			2/1 MSFIT I Capital wthdrwl
IIC	02-21-01	251150*145			-34,190.08						INCOME
IIN	02-28-01	255477*132			25,818.35						EQUITY INCOME
IIC	03-15-01	255792*132			-23,907.09						INCOME
IIN	03-31-01	261786*138			24,516.50						EQUITY INCOME
IIC	04-17-01	261956*138			-19,633.76						INCOME
IIN	04-30-01	265310*133			22,104.38						EQUITY INCOME
IIC	05-16-01	265915*133			-25,845.12						INCOME
IIN	05-31-01	268222*114			26,021.56						EQUITY INCOME
IIC	06-14-01	268630*114			-19,227.70						INCOME
IIN	06-30-01	271945*113			25,754.24						EQUITY INCOME
SAL	07-02-01	272435*2	0.000	0.000		100,000.00	-100,000.00	0.00			7/2 MSFIT I capital wthdrwl
ICA	07-02-01	272805			-84,598.00						ADJ BEG BAL-PUR
IIC	07-16-01	272340*113			-22,185.97						INCOME
IIN	07-31-01	274509*114			29,808.09						EQUITY INCOME
IIC	08-14-01	274991*114			-30,231.69						INCOME
IIN	08-31-01	277047*114			25,269.58						EQUITY INCOME
IIC	09-18-01	277881*114			-23,233.36						INCOME
IIN	09-30-01	280163*111			22,317.99						EQUITY INCOME
IIC	10-15-01	280574*111			-17,257.07						INCOME
IIN	10-31-01	283335*111			32,268.22						EQUITY INCOME
IIC	11-15-01	283510*111			-24,899.13						INCOME
IIN	11-30-01	286279*112			29,392.10						EQUITY INCOME
SAL	12-03-01	286948*59	0.000	0.000		300,000.00	-300,000.00	0.00			12/3 MSFIT I Capital wthdrwl
IIC	12-14-01	286778*112			-16,743.00						INCOME
IIN	12-31-01	289497*111			24,109.87						EQUITY INCOME
	TOTAL -		0.000		-41,830.57	460,000.00	-460,000.00	0.00	0	0.00	

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PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500C	CAFIF	MSTC Fixed Income Trust I	0.000	DLRS	0.000	4,237,486.88	1.000	03-31-96	4,979,289.80	741,802.92

92500C JPMSWEEP J P Morgan Money Market Sweep

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	01-03-01	248747	-500,000.000	1.000		500,000.00	-500,000.00	0.00			Prime Money Market Sweep Fund
SAL	01-18-01	248748	-166.750	1.000		166.75	-166.75	0.00			Prime Money Market Sweep Fund
PUR	02-01-01	251659	60,000.000	1.000	60,000.00				0	0.00	Prime Money Market Sweep Fund
PUR	03-02-01	256163	200,000.000	1.000	200,000.00				0	0.00	Prime Money Market Sweep Fund
SAL	03-29-01	259350	-200,000.000	1.000		200,000.00	-200,000.00	0.00			Prime Money Market Sweep Fund
SAL	04-18-01	262978	-166.750	1.000		166.75	-166.75	0.00			Prime Money Market Sweep Fund
SAL	06-15-01	269692	-300,000.000	1.000		300,000.00	-300,000.00	0.00			Prime Money Market Sweep Fund
SAL	07-18-01	273086	-166.750	1.000		166.75	-166.75	0.00			Prime MM Sweep Fund
PUR	08-09-01	274722	100,000.000	1.000	100,000.00				0	0.00	Prime MM Sweep Fund
SAL	10-18-01	281705	-166.750	1.000		166.75	-166.75	0.00			Prime MM Sweep Fund
SAL	10-26-01	282536	-100,000.000	1.000		100,000.00	-100,000.00	0.00			Prime MM Sweep Fund
PUR	12-03-01	287117	300,000.000	1.000	300,000.00				296,777	296,777.07	Prime MM Sweep Fund
SAL	12-05-01	287119	-36,777.070	1.000		36,777.07	-36,777.07	0.00			Prime MM Sweep Fund
SAL	12-05-01	287119	-163,222.930	1.000		163,222.93	-163,222.93	0.00			Prime MM Sweep Fund
SAL	12-14-01	287770	-200,000.000	1.000		200,000.00	-200,000.00	0.00			Prime MM Sweep Fund
	TOTAL -		-840,667.000		660,000.00	1,500,667.00	-1,500,667.00	0.00	296,777	296,777.07	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92500C	JPMSWEEP	J P Morgan Money Market Sweep	494,576.910	UNTS	1.000	494,576.91	1.000	12-31-01	296,777.07	-197,799.84

92500C TAPEII TAPE II, LP

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-03-01	248746	0.000	0.000	500,000.00				0	504,280.98	Capital Call - TAPE II
SAL	02-23-01	252074	0.000	0.000		30,000.00	-30,000.00	0.00			Ret. of Cap. fm TAPE II distr.
PUR	06-15-01	269691	0.000	0.000	300,000.00				0	302,568.57	Capital call - TAPE II
ICA	07-02-01	272804			37,813.00						ADJ BEG BAL-PUR
PUR	10-26-01	282534	0.000	0.000	100,000.00				0	100,000.00	Capital Call - TAPE II
PUR	12-05-01	287118	0.000	0.000	200,000.00				0	200,000.00	TAPE II Capital call
	TOTAL -		0.000		1,137,813.00	30,000.00	-30,000.00	0.00	0	1,106,849.55	

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ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE            COST       PRICE   DATE      MARKET VALUE UNREALIZED G/L
     92500C TAPEII     TAPE II, LP                         0.000 DLRS        0.000    5,154,213.00                         4,092,039.00  -1,062,174.00


                                                   ------------- ------------- --------------- -------------  ------------ ------------
 REPORT TOTAL -                                     1,755,982.43  1,990,667.00   -1,990,667.00          0.00       296,777 1,403,626.62
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92600	BAKER	Baker Communications Fund, LP									
PUR	03-26-01	259356	0.000	0.000	22,495.42				0	21,536.22	Capital Call - Baker Comm. Fd
PUR	04-19-01	262986	0.000	0.000	4,926.78				0	4,716.70	Capital call - Baker Comm. Fd
SAL	04-30-01	264186	0.000	0.000		9,853.00	-9,853.00	0.00			Ret of Cap fm Baker cash dist.
SAL	05-01-01	266479	0.000	0.000		51,239.64	-51,239.64	0.00			Return of Cap.-Baker cash dist
SAL	06-26-01	270565	0.000	0.000		73,218.78	-73,218.78	0.00			Return of Cap-Baker cash dist.
ICA	07-02-01	273327			-49,596.00						ADJ BEG BAL-PUR
SAL	08-01-01	275786	0.000	0.000		80,115.00	-80,115.00	0.00			Tfr to Baker Comm. Fd - Cayman
ICA	08-01-01	275789			18,227.00						ADJ BEG BAL-PUR
PUR	09-07-01	278124	0.000	0.000	9,853.57				0	9,853.57	Baker Capital - Capital call
	TOTAL -		0.000		5,906.77	214,426.42	-214,426.42	0.00	0	36,106.49	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600	BAKER	Baker Communications Fund, LP	0.000	DLRS	0.000	579,582.37			439,652.40	-139,929.97

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92600	BAKERIIA	Baker Communication Fd-Cayman									
PUR	08-01-01	275788	0.000	0.000	80,115.00				0	80,115.00	Tfr from Baker Comm. Fund II
	TOTAL -		0.000		80,115.00	0.00	0.00	0.00	0	80,115.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600	BAKERIIA	Baker Communication Fd-Cayman	0.000	DLRS	0.000	80,115.00			59,952.60	-20,162.40

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92600	BLUEROCK	Bluerock Capital									
SAL	01-23-01	249215	0.000	0.000		4,665.51	-4,665.51	0.00			Blue Rock stock dist. of EDSN
PUR	01-25-01	249611	0.000	0.000	50,000.00				0	44,273.52	Capital - Blue Rock Capital
SAL	01-31-01	249812	0.000	0.000		4,583.08	-4,583.08	0.00			Ret of Cap fm Blue Rock dist.
ICA	07-02-01	273326			-49,366.00						ADJ BEG BAL-PUR
	TOTAL -		0.000		634.00	9,248.59	-9,248.59	0.00	0	44,273.52	

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600	BLUEROCK	Bluerock Capital	0.000	DLRS	0.000	381,666.41			828,600.00	446,933.59

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92600	CAFIP	MSTC Fixed Income Trust I									
IIC	01-19-01	248552*146			-570.03						INCOME
IIN	01-31-01	250789*146			903.27						EQUITY INCOME
IIC	02-21-01	251150*146			-894.27						INCOME
IIN	02-28-01	253477*133			682.81						EQUITY INCOME
SAL	03-02-01	256882*7	0.000	0.000		5,000.00	-5,000.00	0.00			3/2 MSFIT I Capital wthdrwl
IIC	03-15-01	255792*132			-632.26						INCOME
IIN	03-31-01	261786*139			625.61						EQUITY INCOME
SAL	04-02-01	265158*15	0.000	0.000		50,000.00	-50,000.00	0.00			4/2 MSFIT I Capital wthdrwl
IIC	04-17-01	261956*139			-501.01						INCOME
IIN	04-30-01	265310*134			359.61						EQUITY INCOME
IIC	05-16-01	265915*134			-420.47						INCOME
IIN	05-31-01	268222*115			423.34						EQUITY INCOME
IIC	06-14-01	268630*115			-312.81						INCOME
IIN	06-30-01	271945*114			418.99						EQUITY INCOME
PUR	07-02-01	272432*3	0.000	0.000	85,000.00				0	81,485.32	7/2 MSFIT I capital contri.
ICA	07-02-01	273324			-6,610.00						ADJ SEG BAL-PUR
IIC	07-16-01	272340*114			-360.94						INCOME
IIN	07-31-01	274509*115			974.77						EQUITY INCOME
IIC	08-14-01	274991*115			-988.62						INCOME
IIN	08-31-01	277047*118			826.36						EQUITY INCOME
IIC	09-18-01	277881*115			-759.77						INCOME
IIN	09-30-01	280163*112			729.84						EQUITY INCOME
IIC	10-15-01	280574*112			-564.33						INCOME
IIN	10-31-01	283335*112			1,055.22						EQUITY INCOME
IIC	11-15-01	283510*112			-814.24						INCOME
IIN	11-30-01	286279*113			961.16						EQUITY INCOME
SAL	12-03-01	286948*60	0.000	0.000		50,000.00	-50,000.00	0.00			12/3 MSFIT I Capital wthdrwl
IIC	12-14-01	286778*113			-547.52						INCOME
IIN	12-31-01	289497*112			594.89						EQUITY INCOME
	TOTAL -		0.000		79,579.59	105,000.00	-105,000.00	0.00	0	81,485.32	

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY CON	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	92600 CAPIF	MSTC Fixed Income Trust I			0.000 DLRS	0.000	97,603.58	1.000	01-31-96	122,859.97	25,256.39
92600	EDSN	Edison Schools Inc									
PUR	01-23-01	249216	1,981.000	2.355	4,665.51				0	0.00	Blue Rock stock dist. of EDSN
SAL	01-24-01	250895	-1,981.000	34.010		67,173.46	-4,665.51	62,507.95			Sale of Edison Schools Inc
PUR	01-31-01	249813	1,946.000	2.355	4,583.08				0	0.00	Stock dist. fm Blue Rock Cap.
SAL	02-02-01	252435	-1,946.000	34.338		66,818.54	-4,583.08	62,235.46			Sale of Edison Schools Inc
	TOTAL -		0.000		9,248.59	133,992.00	-9,248.59	124,743.41	0	0.00	
92600	JPMSWEEP	J P Morgan Money Market Sweep									
SAL	01-18-01	248754	-500.000	1.000		500.00	-500.00	0.00			Prime Money Market Sweep Fund
SAL	01-25-01	249619	-50,000.000	1.000		50,000.00	-50,000.00	0.00			Prime Money Market Sweep Fund
PUR	02-08-01	251667	69,555.040	1.000	69,555.04				0	0.00	Prime Money Market Sweep Fund
PUR	02-27-01	252437	133,992.000	1.000	133,992.00				0	0.00	Prime Money Market Sweep Fund
PUR	03-02-01	256159	5,000.000	1.000	5,000.00				0	0.00	Prime Money Market Sweep Fund
SAL	03-26-01	259365	-22,495.420	1.000		22,495.42	-22,495.42	0.00			Prime Money Market Sweep Fund
SAL	03-26-01	259369	-361,175.560	1.000		361,175.56	-361,175.56	0.00			Prime Money Market Sweep Fund
PUR	04-02-01	262987	50,000.000	1.000	50,000.00				0	0.00	Prime Money Market Sweep Fund
SAL	04-18-01	262989	-500.000	1.000		500.00	-500.00	0.00			Prime Money Market Sweep Fund
SAL	04-19-01	262990	-4,926.780	1.000		4,926.78	-4,926.78	0.00			Prime Money Market Sweep Fund
PUR	05-01-01	266477	21,230.650	1.000	21,230.65				0	0.00	Prime Money Market Sweep Fund
PUR	05-02-01	266478	102,628.700	1.000	102,628.70				12,579	12,579.00	Prime Money Market Sweep Fund
PUR	06-26-01	270558	13,605.140	1.000	13,605.14				13,605	13,605.14	Prime MM Sweep Fund
SAL	07-16-01	273089	-500.000	1.000		500.00	-500.00	0.00			Prime MM Sweep Fund
SAL	08-09-01	274725	-85,000.000	1.000		85,000.00	-85,000.00	0.00			Prime MM Sweep Fund
SAL	09-07-01	278127	-19,853.570	1.000		19,853.57	-19,853.57	0.00			Prime MM Sweep Fund
SAL	10-18-01	281707	-500.000	1.000		500.00	-500.00	0.00			Prime MM Sweep Fund
PUR	12-03-01	287122	50,000.000	1.000	50,000.00				50,000	50,000.00	Prime MM Sweep Fund
SAL	12-14-01	287774	-50,000.000	1.000		50,000.00	-50,000.00	0.00			Prime MM Sweep Fund
	TOTAL -		-149,439.800		446,011.53	595,451.33	-595,451.33	0.00	76,184	76,184.14	

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CURRENT HOLDINGS -											
ENTITY INVESTMENT DESCRIPTION					QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600 JPMSWEEP J P Morgan Money Market Sweep					56,269.520 UNTS	1.000	56,269.82	1.000	12-31-01	76,184.14	19,914.62
92600 OXFORD Oxford Bioscience Partners II											
ICA	07-02-01	273325			161,290.00						ADJ BEG BAL-PUR
TOTAL -			0.000		161,290.00	0.00	0.00	0.00	0	0.00	
CURRENT HOLDINGS -											
ENTITY INVESTMENT DESCRIPTION					QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600 OXFORD Oxford Bioscience Partners II					0.000 DLRS	0.000	994,552.19	1.000	03-31-97	1,083,723.00	89,170.81
REPORT TOTAL -					782,785.48	1,058,118.34	-931,374.93	124,743.41	76,184	318,164.47	

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
926008 BAKER2	Baker Communications Fund II										
PUR	03-15-01	260537	0.000	0.000	29,722.15				0	22,161.65	Capital Call - Baker Comm. II
PUR	03-23-01	259484	0.000	0.000	44,457.18				0	33,148.50	Capital Call - Baker Comm. II
PUR	04-19-01	262997	0.000	0.000	44,457.18				0	33,148.50	Capital call - Baker Comm. II
PUR	05-03-01	266486	0.000	0.000	30,008.60				0	22,375.24	Capital Call-Baker Comm. Fd II
PUR	06-22-01	269696	0.000	0.000	50,000.00				0	37,281.37	Capital call - Baker Comm. II
ICA	07-02-01	273330			-405,150.00						ADJ BEG BAL-PUR
ICA	07-02-01	273331			344,312.00						ADJ BEG BAL-PUR
SAL	08-01-01	275791	0.000	0.000		344,312.00	-344,312.00	0.00			Tfr to Baker Comm IIB - Cayman
ICA	08-01-01	275794			-344,312.00						ADJ BEG BAL-PUR
ICA	08-01-01	276787			-1,729.00						ADJ BEG BAL-PUR
PUR	10-11-01	280795	0.000	0.000	60,017.19				0	60,017.19	Capital call - Baker Comm. II
PUR	10-26-01	282543	0.000	0.000	6,225.86				0	6,225.86	Capital Call - Baker Comm. II
PUR	12-07-01	287123	0.000	0.000	15,560.01				0	15,560.01	Capital call-Baker Cap. II
TOTAL -			0.000		-126,430.84	344,312.00	-344,312.00	0.00	0	229,918.31	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
926008 BAKER2	Baker Communications Fund II	0.000	DLRS	0.000	1,285,727.99			1,085,773.92	-199,954.07

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
926008 BAKERIIB	Baker Communication II-Cayman										
PUR	08-01-01	275792	0.000	0.000	344,312.00				0	344,312.00	Tfr fm Baker Comm. Fund II
TOTAL -			0.000		344,312.00	0.00	0.00	0.00	0	344,312.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
926008 BAKERIIB	Baker Communication II-Cayman	0.000	DLRS	0.000	344,312.00			324,322.08	-19,989.92

926008 BLUEROCKII Blue Rock Capital II LP

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
926008 BLUEROCKII	Blue Rock Capital II LP	0.000	DLRS	0.000	100,000.00				-100,000.00

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ENTITY INVESTMENT DESCRIPTION...

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92600B BMP2		Boston Millennia Partners II									
ICA	07-02-01	273332			-84,974.00						ADJ BEG BAL-PUR
PUR	08-10-01	274729	0.000	0.000	300,000.00				0	300,000.00	Capital call-Boston Millennia
SAL	12-20-01	288241	0.000	0.000		2,722.98	-2,722.98	0.00			Return of Cap fm BMP2 distri.
SAL	12-20-01	288243	0.000	0.000		1,761.25	-1,761.25	0.00			Return of Cap-BMP2 option fee
	TOTAL -		0.000		215,026.00	4,484.23	-4,484.23	0.00	0	300,000.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600B BMP2	Boston Millennia Partners II	0.000 DLRS	0.000	1,108,019.61			751,428 00	-356,591.61

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
92600B CAPIF		MSTC Fixed Income Trust I									
IIC	01-19-01	248552*147			-46,961.65						INCOME
IIN	01-31-01	250789*147			74,415.27						EQUITY INCOME
IIC	02-21-01	251160*147			-73,673.73						INCOME
IIN	02-28-01	255477*134			56,252.85						EQUITY INCOME
IIC	03-15-01	255792*134			-52,088.61						INCOME
IIN	03-31-01	261786*140			53,416.39						EQUITY INCOME
IIC	04-17-01	261956*140			-42,777.89						INCOME
IIN	04-30-01	265310*135			48,160.86						EQUITY INCOME
IIC	05-16-01	265915*135			-56,311.17						INCOME
IIN	05-31-01	268222*116			56,695.62						EQUITY INCOME
IIC	06-14-01	268630*116			-41,893.18						INCOME
IIN	06-30-01	271945*115			56,113.17						EQUITY INCOME
SAL	07-02-01	272436*1	0.000	0.000		650,000.00	-650,000.00	0.00			7/2 MSFIT i capital wthdrwl
ICA	07-02-01	273329			1,960.00						ADJ BEG BAL-PUR
IIC	07-16-01	272340*115			-48,338.64						INCOME
IIN	07-31-01	274509*116			62,502.26						EQUITY INCOME
SAL	08-01-01	275042*4	0.000	0.000		500,000.00	-500,000.00	0.00			8/1 MSFIT I Capital wthdrwl
IIC	08-14-01	274991*116			-63,390.45						INCOME
IIN	08-31-01	277047*116			50,600.82						EQUITY INCOME
IIC	09-18-01	277881*116			-46,523.40						INCOME
IIN	09-30-01	280163*113			44,690.43						EQUITY INCOME
IIC	10-15-01	280574*113			-34,556.24						INCOME
IIN	10-31-01	283335*113			64,615.16						EQUITY INCOME

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                                                                              Market Street Trust Company
04-23-02                                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                                  PAGE 3
FC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                                  REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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IIC   11-15-01  283510*113                              -49,859.01                                                                         INCOME
IIN   11-30-01  286279*114                               58,855.93                                                                         EQUITY INCOME
IIC   12-14-01  286776*114                              -33,526.86                                                                         INCOME
IIN   12-31-01  289497*113                               51,171.47                                                                         EQUITY INCOME
                                ------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                          0.000             89,549.40  1,150,000.00   -1,150,000.00          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST       PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      92600B CAFIF      MSTC Fixed Income Trust I            0.000 DLRS        0.000    9,821,134.22       1.000 03-31-96  10,568,185.65       747,051.43

92600B ISPV        Intersouth Partners V
PUR   03-08-01        256161             0.000     0.000     60,000.00                                                             0     55,165.07  Capital call - Intersouth V
PUR   04-30-01        264188             0.000     0.000    180,000.00                                                             0    165,495.19  Capital Call-Intersouth Part V
ICA   07-02-01        273333                                -54,393.00                                                                          ADJ DEG BAL-PUR
PUR   09-27-01        278960             0.000     0.000    150,000.00                                                             0    150,000.00  Intersouth Part V Capital call
                                ------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                          0.000            335,607.00          0.00            0.00          0.00           0    370,660.26

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM        AVERAGE           COST       PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      92600B ISPV       Intersouth Partners V                0.000 DLRS        0.000    1,033,107.00                          460,041.00      -573,066.00

92600B JPMSWEEP   J P Morgan Money Market Sweep
SAL   01-18-01        248760        -1,061.250     1.000                   1,061.25       -1,061.25          0.00                                    Prime Money Market Sweep Fund
SAL   03-08-01        256162       -60,000.000     1.000                  60,000.00      -60,000.00          0.00                                    Prime Money Market Sweep Fund
SAL   03-15-01        260545       -29,722.150     1.000                  29,722.15      -29,722.15          0.00                                    Prime Money Market Sweep Fund
SAL   03-23-01        259486       -44,457.180     1.000                  44,457.18      -44,457.18          0.00                                    Prime Money Market Sweep Fund
SAL   04-18-01        262995        -1,061.250     1.000                   1,061.25       -1,061.25          0.00                                    Prime Money Market Sweep Fund
SAL   04-19-01        262996       -44,457.180     1.000                  44,457.18      -44,457.18          0.00                                    Prime Money Market Sweep Fund
SAL   04-30-01        264189      -180,000.000     1.000                 180,000.00     -180,000.00          0.00                                    Prime Money Market Sweep Fund
SAL   05-03-01        266487       -30,008.600     1.000                  30,008.60      -30,008.60          0.00                                    Prime Money Market Sweep Fund
SAL   06-22-01        270553       -50,000.000     1.000                  50,000.00      -50,000.00          0.00                                    Prime MM Sweep Fund
PUR   07-05-01        272539            31.250     1.000         31.25                                                             0          0.00  Prime MM Sweep Fund
SAL   07-18-01        273093        -1,030.000     1.000                   1,030.00       -1,030.00          0.00                                    Prime MM Sweep Fund
PUR   08-01-01        274736       275,616.000     1.000    275,616.00                                                             0          0.00  Prime MM Sweep Fund
PUR   08-09-01        274742       650,000.000     1.000    650,000.00                                                       577,100    577,099.80  Prime MM Sweep Fund
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	08-10-01	274728	-300,000.000	1.000		300,000.00	-300,000.00	0.00			Prime MM Sweep Fund
SAL	09-27-01	278959	-150,000.000	1.000		150,000.00	-150,000.00	0.00			Prime MM Sweep Fund
SAL	10-11-01	280794	-60,017.190	1.000		60,017.19	-60,017.19	0.00			Prime MM Sweep Fund
SAL	10-18-01	281709	-1,090.000	1.000		1,090.00	-1,090.00	0.00			Prime MM Sweep Fund
PUR	10-24-01	283369	126,561.000	1.000	126,561.00				126,561	126,561.00	Prime MM Sweep Fund
SAL	10-26-01	282646	-6,225.850	1.000		6,225.85	-6,225.85	0.00			Prime MM Sweep Fund
SAL	12-07-01	287127	-65,560.010	1.000		65,560.01	-65,560.01	0.00			Prime MM Sweep Fund
SAL	12-19-01	287776	-74,250.000	1.000		74,280.00	-74,250.00	0.00			Prime MM Sweep Fund
PUR	12-20-01	288244	9,439.790	1.000	9,439.79				9,440	9,439.79	Prime MM Sweep Fund
	TOTAL -		-37,292.620		1,061,648.04	1,098,940.66	-1,098,940.66	0.00	713,101	713,100.59	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600B	JPMSWEEP	J P Morgan Money Market Sweep	545,666.690	UNTS	1.000	545,666.69	1.000	12-31-01	713,100.59	167,433.90

92600B PCP-II	Paul Associates II										
PUR	08-01-01	274731	0.000	0.000	224,384.00				0	97,823.00	Capital call-Paul AssociatesII
SAL	10-24-01	282199	0.000	0.000		126,561.00	-126,561.00	0.00			Paul Associates II ret of cap
PUR	12-19-01	287777	0.000	0.000	74,250.00				0	74,250.00	Capital call - Paul Assoc. II
	TOTAL -		0.000		298,634.00	126,561.00	-126,561.00	0.00	0	172,073.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
92600B	PCP-II	Paul Associates II	0.000	UNTS	0.000	204,802.00			206,914.00	2,112.00

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	2,218,345.60	2,724,297.89	-2,724,297.89	0.00	713,101	2,130,064.16

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                                                                                                   Market Street Trust Company
04-23-02                                                                                     PURCHASE / SALE DETAIL HISTORY REPORT                                                                                         PAGE 1
FC3.3                                                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV

ENTITY INVESTMENT DESCRIPTION                                                                                              REMAINING      REMAINING
TYPE TXN DATE TXN NUMBER               QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS       QUANTITY     COST BASIS DESCRIPTION
---- -------- ----------      ----------------- ----------- ------------- ------------- --------------- -------------  -------------  ------------- -----------
CAFIF  CAFIF.0A   Distributed Unrealized G(L)
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM        AVERAGE             COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     CAFIF  CAFIF.0A   Distributed Unrealized G(L)             33,724.320 DLRS       100.000        33,724.32       0.000 12-31-96             0.00      -33,724.32

MG1    CA.5C1007  LA CtY Pbl Wks 5.375% 10/1/07
IAM  01-31-01      250590                                            0.00                                                                           AMORTIZATION
IAM  02-28-01      255335                                            0.00                                                                           AMORTIZATION
IAM  03-31-01      261654                                            0.00                                                                           AMORTIZATION
IAM  04-30-01      265176                                            0.00                                                                           AMORTIZATION
IAM  05-31-01      268099                                            0.00                                                                           AMORTIZATION
IAM  06-30-01      271829                                            0.00                                                                           AMORTIZATION
IAM  07-31-01      274390                                            0.00                                                                           AMORTIZATION
IAM  08-31-01      276926                                            0.00                                                                           AMORTIZATION
IAM  09-30-01      280048                                            0.00                                                                           AMORTIZATION
IAM  10-31-01      283221                                            0.00                                                                           AMORTIZATION
IAM  11-30-01      286153                                            0.00                                                                           AMORTIZATION
IAM  12-31-01      289381                                            0.00                                                                           AMORTIZATION
                              -----------------             ------------- ------------- --------------- -------------  -------------  -------------
     TOTAL -                              0.000                      0.00          0.00            0.00          0.00              0           0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM        AVERAGE             COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     MG1    CA.5C1007  LA CtY Pbl Wks 5.375% 10/1/07        2,000,000.000 PAR        104.871     2,097,420.00     109.002 12-31-01     2,180,040.00       82,620.00

MG1    CT.5D0606  Bridgeport Tx 5.51% 08/15/06
PUR  07-16-01      273050         1,420,000.000     100.000  1,420,000.00                                                  1,420,000   1,420,000.00 Bridgeport Tx 5.51% 08/15/06
                              -----------------             ------------- ------------- --------------- -------------  -------------  -------------
     TOTAL -                      1,420,000.000              1,420,000.00          0.00            0.00          0.00      1,420,000   1,420,000.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM        AVERAGE             COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     MG1    CT.5D0806  Bridgeport Tx 5.51% 08/15/06         1,420,000.000 PAR        100.000     1,420,000.00     100.696 12-31-01     1,429,883.20        9,883.20
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04-23-02                                         Market Street Trust Company                                                        PAGE 2
FC3.3                                       PURCHASE / SALE DETAIL HISTORY REPORT
                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS  DESCRIPTION
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MG1    CT.5D1212  Conn. Ref Unlim 5.5% 12/15/12
PUR   10-10-01     281142    1,360,000.000    113.493  1,543,504.80                                               1,360,000  1,543,504.80 Conn. Ref Unlim 5.5% 12/15/12
IAM   10-31-01     283222                                      0.00                                                                       AMORTIZATION
IAM   11-30-01     286154                                      0.00                                                                       AMORTIZATION
IAM   12-31-01     289362                                      0.00                                                                       AMORTIZATION
                            ----------------            ------------  ------------- --------------- ------------- ---------  ------------
      TOTAL -               1,360,000.000               1,543,504.80          0.00            0.00          0.00  1,360,000  1,543,504.80

MG1    DC.5D1005  DC Howard U 5.50% 10/01/05
IAM   01-31-01     250591                                      0.00                                                                       AMORTIZATION
IAM   02-28-01     255336                                      0.00                                                                       AMORTIZATION
IAM   03-31-01     261655                                      0.00                                                                       AMORTIZATION
IAM   04-30-01     265177                                      0.00                                                                       AMORTIZATION
IAM   05-31-01     268100                                      0.00                                                                       AMORTIZATION
IAM   06-30-01     271830                                      0.00                                                                       AMORTIZATION
IAM   07-31-01     274391                                      0.00                                                                       AMORTIZATION
IAM   08-31-01     276927                                      0.00                                                                       AMORTIZATION
IAM   09-30-01     280049                                      0.00                                                                       AMORTIZATION
IAM   10-31-01     283223                                      0.00                                                                       AMORTIZATION
IAM   11-30-01     286155                                      0.00                                                                       AMORTIZATION
IAM   12-31-01     289363                                      0.00                                                                       AMORTIZATION
                            ----------------            ------------  ------------- --------------- ------------- ---------  ------------
      TOTAL -                       0.000                       0.00          0.00            0.00          0.00          0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM      AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MG1    DC.5D1005  DC Howard U 5.50% 10/01/05  2,500,000.000 PAR   105.795   2,644,875.00   106.915 12-31-01   2,672,875.00       28,000.00

MG1    DC.60602   DC Gen Obl 6% 06-01-02-Insured
IAM   01-31-01     250592                                      0.00                                                                       AMORTIZATION
IAM   02-28-01     255337                                      0.00                                                                       AMORTIZATION
IAM   03-31-01     261656                                      0.00                                                                       AMORTIZATION
IAM   04-30-01     265178                                      0.00                                                                       AMORTIZATION
IAM   05-31-01     268101                                      0.00                                                                       AMORTIZATION
IAM   06-30-01     271831                                      0.00                                                                       AMORTIZATION
IAM   07-31-01     274392                                      0.00                                                                       AMORTIZATION
IAM   08-31-01     276928                                      0.00                                                                       AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION...							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
SAL	09-28-01	279058	-970,000.000	102.545		994,686.50	-976,334.10	18,352.40			DC Genl Purp Tx 6% 06/01/02
	TOTAL -		-970,000.000		0.00	994,686.50	-976,334.10	18,352.40	0	0.00	
MG1	DC.60602A	DC Genl Oblig 6% 6/02-Gv Bcked									
IAM	01-31-01	250593			0.00						AMORTIZATION
IAM	02-28-01	255338			0.00						AMORTIZATION
IAM	03-31-01	261657			0.00						AMORTIZATION
IAM	04-30-01	265179			0.00						AMORTIZATION
IAM	05-31-01	268102			0.00						AMORTIZATION
IAM	06-30-01	271832			0.00						AMORTIZATION
IAM	07-31-01	274393			0.00						AMORTIZATION
IAM	08-31-01	276929			0.00						AMORTIZATION
SAL	09-28-01	279059	-30,000.000	102.545		30,763.60	-30,195.90	567.60			DC Genl Purp Tx 6% 06/01/02
	TOTAL -		-30,000.000		0.00	30,763.50	-30,195.90	567.60	0	0.00	
MG1	FL.5E0602	Florida Bd of Educ 5.625%									
IAM	01-31-01	250894			0.00						AMORTIZATION
IAM	02-28-01	255339			0.00						AMORTIZATION
IAM	03-31-01	261658			0.00						AMORTIZATION
IAM	04-30-01	265180			0.00						AMORTIZATION
IAM	05-31-01	268103			0.00						AMORTIZATION
IAM	06-30-01	271833			0.00						AMORTIZATION
IAM	07-31-01	274394			0.00						AMORTIZATION
IAM	08-31-01	276930			0.00						AMORTIZATION
SAL	09-19-01	278963	-1,500,000.000	102.336		1,535,040.00	-1,544,445.00	-9,405.00			FL Board of Educ 5.625% 06/02
	TOTAL -		-1,500,000.000		0.00	1,535,040.00	-1,544,445.00	-9,405.00	0	0.00	
MG1	FL.ADJ0712	FL HFC P Floats Ser 1 07/01/12									
PUR	04-12-01	262878	1,000,000.000	100.000	1,000,000.00				0	0.00	FLORIDA HOUSING FINANCE CORP REV TAXABLE P FLOATS SER 1 ADJ RATE JUL 1 2012 DTD
SAL	06-29-01	267114	-1,000,000.000	100.000		1,000,000.00	-1,000,000.00	0.00			FL HFC P Floats Adj 7/1/12
	TOTAL -		0.000		1,000,000.00	1,000,000.00	-1,000,000.00	0.00	0	0.00	
MG1	FL.ADJ0903	Orlando Utlty ADJSTABLE 9/1/03									

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                                                                              Market Street Trust Company
04-23-02                                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                         PAGE 4
FC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                                     REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST     PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      MG1    FL.ADJ0903 Orlando Utlty ADJUSTABLE 9/1/03   500,000.000 PAR        100.000     500,000.00   100.779  12-31-01     503,895.00        3,895.00

MG1    GA.6B0307  State of GA Gen Obl 6.25% 3/07
IAM   01-31-01       280595                                  0.00                                                                            AMORTIZATION
IAM   02-28-01       255340                                  0.00                                                                            AMORTIZATION
IAM   03-31-01       261659                                  0.00                                                                            AMORTIZATION
IAM   04-30-01       265101                                  0.00                                                                            AMORTIZATION
IAM   05-31-01       268104                                  0.00                                                                            AMORTIZATION
IAM   06-30-01       271834                                  0.00                                                                            AMORTIZATION
IAM   07-31-01       274395                                  0.00                                                                            AMORTIZATION
IAM   08-31-01       276931                                  0.00                                                                            AMORTIZATION
IAM   09-30-01       280050                                  0.00                                                                            AMORTIZATION
IAM   10-31-01       283224                                  0.00                                                                            AMORTIZATION
IAM   11-30-01       286156                                  0.00                                                                            AMORTIZATION
IAM   12-31-01       289384                                  0.00                                                                            AMORTIZATION
                               -------------            ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                          0.000                     0.00          0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST     PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      MG1    GA.6B0307 State of GA Gen Obl 6.25% 3/07   1,000,000.000 PAR        107.030   1,070,300.00   110.704  12-31-01   1,107,040.00       36,740.00

MG1    GA.7C0103  Fulton Cty GA Sch Dist 7 3/8%
IAM   01-31-01       250596                                  0.00                                                                            AMORTIZATION
IAM   02-28-01       255341                                  0.00                                                                            AMORTIZATION
IAM   03-31-01       261660                                  0.00                                                                            AMORTIZATION
IAM   04-30-01       265102                                  0.00                                                                            AMORTIZATION
IAM   05-31-01       268105                                  0.00                                                                            AMORTIZATION
IAM   06-30-01       271835                                  0.00                                                                            AMORTIZATION
IAM   07-31-01       274396                                  0.00                                                                            AMORTIZATION
IAM   08-31-01       276932                                  0.00                                                                            AMORTIZATION
IAM   09-30-01       280051                                  0.00                                                                            AMORTIZATION
IAM   10-31-01       283225                                  0.00                                                                            AMORTIZATION
IAM   11-30-01       286157                                  0.00                                                                            AMORTIZATION
IAM   12-31-01       289385                                  0.00                                                                            AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS -- FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	
MG1	HI.5B0609	HI Genl Purp 5.5% 06/01/09									
SAL	01-03-01	248941	-500,000.000	104.127		520,635.00	-534,935.00	-14,300.00			STATE OF HAWAII GENL PURP UNLIMITED TAX 5 1/2% CE JUN 1 2009 DTD 6/1/93FGIC INSL
IAM	01-31-01	250597			0.00						AMORTIZATION
IAM	02-28-01	255342			0.00						AMORTIZATION
IAM	03-31-01	261661			0.00						AMORTIZATION
SAL	04-02-01	262890	-1,000,000.000	105.151		1,051,510.00	-1,069,870.00	-18,360.00			Hawaii Genl Purp 5.5% 06/01/09
	TOTAL -		-1,500,000.000		0.00	1,572,145.00	-1,604,805.00	-32,660.00	0	0.00	
MG1	HI.61109	HI Sch Imp 6% 11/01/09									
IAM	01-31-01	250598			0.00						AMORTIZATION
IAM	02-28-01	255343			0.00						AMORTIZATION
IAM	03-31-01	261662			0.00						AMORTIZATION
IAM	04-30-01	265183			0.00						AMORTIZATION
IAM	05-31-01	268106			0.00						AMORTIZATION
IAM	06-30-01	271836			0.00						AMORTIZATION
IAM	07-31-01	274397			0.00						AMORTIZATION
IAM	08-31-01	276933			0.00						AMORTIZATION
IAM	09-30-01	280062			0.00						AMORTIZATION
IAM	10-31-01	283226			0.00						AMORTIZATION
IAM	11-30-01	286158			0.00						AMORTIZATION
IAM	12-31-01	289366			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MG1	HI.61109	HI Sch Imp 6% 11/01/09	1,000,000.000	PAR	106.910	1,069,100.00	110.294	12-31-01	1,102,940.00	33,840.00

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MG1	IL.5F1107	Chicago Wtr Lien 5.75% 11/1/07									
IAM	01-31-01	250599			0.00						AMORTIZATION
IAM	02-28-01	255344			0.00						AMORTIZATION
IAM	03-31-01	261663			0.00						AMORTIZATION
IAM	04-30-01	265184			0.00						AMORTIZATION
IAM	05-31-01	268107			0.00						AMORTIZATION

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                                                                    Market Street Trust Company
04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                        BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
----- -------- ----------     ------------ ---------- ------------- ------------- --------------- ------------- ---------- ------------ ------------
IAM   06-30-01     271837                                      0.00                                                                   AMORTIZATION
IAM   07-31-01     274398                                      0.00                                                                   AMORTIZATION
IAM   08-31-01     276934                                      0.00                                                                   AMORTIZATION
IAM   09-30-01     280053                                      0.00                                                                   AMORTIZATION
IAM   10-31-01     283227                                      0.00                                                                   AMORTIZATION
IAM   11-30-01     286159                                      0.00                                                                   AMORTIZATION
IAM   12-31-01     289387                                      0.00                                                                   AMORTIZATION
                              ------------            ------------- ------------- --------------- ------------- ---------- ------------
      TOTAL -                        0.000                     0.00          0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE         COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      M31    IL.5P1107  Chicago Wtr Lien 5.75% 11/1/07  1,000,000.000 PAR       105.615 1,056,150.00   108.557 12-31-01  1,085,570.00       29,420.00

M31    IL.60106   IL O'Hare Arpt 6% 01/01/06
IAM   01-31-01     250600                                      0.00                                                                   AMORTIZATION
IAM   01-31-01     250601                                      0.00                                                                   AMORTIZATION
IAM   02-28-01     255345                                      0.00                                                                   AMORTIZATION
IAM   02-28-01     255346                                      0.00                                                                   AMORTIZATION
IAM   03-31-01     261664                                      0.00                                                                   AMORTIZATION
IAM   03-31-01     261665                                      0.00                                                                   AMORTIZATION
IAM   04-30-01     265185                                      0.00                                                                   AMORTIZATION
IAM   04-30-01     265186                                      0.00                                                                   AMORTIZATION
IAM   05-31-01     268108                                      0.00                                                                   AMORTIZATION
IAM   05-31-01     268109                                      0.00                                                                   AMORTIZATION
IAM   06-30-01     271838                                      0.00                                                                   AMORTIZATION
IAM   06-30-01     271839                                      0.00                                                                   AMORTIZATION
IAM   07-31-01     274399                                      0.00                                                                   AMORTIZATION
IAM   07-31-01     274400                                      0.00                                                                   AMORTIZATION
IAM   08-31-01     276935                                      0.00                                                                   AMORTIZATION
IAM   08-31-01     276936                                      0.00                                                                   AMORTIZATION
IAM   09-30-01     280054                                      0.00                                                                   AMORTIZATION
IAM   09-30-01     280055                                      0.00                                                                   AMORTIZATION
IAM   10-31-01     283228                                      0.00                                                                   AMORTIZATION
IAM   10-31-01     283229                                      0.00                                                                   AMORTIZATION
IAM   11-30-01     286160                                      0.00                                                                   AMORTIZATION
IAM   11-30-01     286161                                      0.00                                                                   AMORTIZATION
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04-22-02                                                              Market Street Trust Company
FC3.3                                                            PURCHASE / SALE DETAIL HISTORY REPORT
                                                                 BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..
TYPE  TXN DATE  TXN NUMBER       QUANTITY       PRICE    COST BASIS  SALE PROCEEDS  SALE COST BASIS  MKT GAIN/LOSS   REMAINING    REMAINING
                                                                                                                    QUANTITY    COST BASIS  DESCRIPTION
----  --------  ----------  ---------------  ---------  -----------  -------------  ---------------  -------------  ----------  -----------  ------------
IAM   12-31-01      289388                                     0.00                                                                          AMORTIZATION
IAM   12-31-01      289389                                     0.00                                                                          AMORTIZATION
                            ---------------             -----------  -------------  ---------------  -------------  ----------  -----------
      TOTAL -                         0.000                    0.00           0.00             0.00           0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE         COST      PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      MG1    IL.60106   IL O'Hare Arpt 6% 01/01/06  3,000,000.000 PAR     107.750   3,232,490.00   106.400  12-31-01   3,192,000.00      -40,490.00

MG1    IL.6D0108  Chicago IL Wastewtr 6.5% 1/08
IAM   01-31-01      280602                                     0.00                                                                          AMORTIZATION
IAM   02-28-01      255347                                     0.00                                                                          AMORTIZATION
IAM   03-31-01      261666                                     0.00                                                                          AMORTIZATION
IAM   04-30-01      265187                                     0.00                                                                          AMORTIZATION
IAM   05-31-01      268110                                     0.00                                                                          AMORTIZATION
IAM   06-30-01      271840                                     0.00                                                                          AMORTIZATION
IAM   07-31-01      274401                                     0.00                                                                          AMORTIZATION
IAM   08-31-01      276937                                     0.00                                                                          AMORTIZATION
IAM   09-30-01      280056                                     0.00                                                                          AMORTIZATION
IAM   10-31-01      283230                                     0.00                                                                          AMORTIZATION
IAM   11-30-01      286162                                     0.00                                                                          AMORTIZATION
IAM   12-31-01      289390                                     0.00                                                                          AMORTIZATION
                            ---------------             -----------  -------------  ---------------  -------------  ----------  -----------
      TOTAL -                         0.000                    0.00           0.00             0.00           0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE         COST      PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      MG1    IL.6D0108  Chicago IL Wastewtr 6.5% 1/08  750,000.000 PAR    105.344     790,080.00   111.443  12-31-01     835,822.50       45,742.50

MG1    IL.7B1202  Cook County Community College
BAL   11-30-01      286123   -1,350,000.000    105.466                1,423,791.00    -1,534,059.00    -110,268.00                          Cook County C.C. 7.6% 12/01/02
                            ---------------             -----------  -------------  ---------------  -------------  ----------  -----------
      TOTAL -                -1,350,000.000                    0.00   1,423,791.00    -1,534,059.00    -110,268.00           0         0.00

MG1    IL.7F0608  Reg Trans Auth.IL 7.75% 6/1/06
IAM   01-31-01      250603                                     0.00                                                                          AMORTIZATION
IAM   02-28-01      255348                                     0.00                                                                          AMORTIZATION
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ENTITY INVESTMENT DESCRIPTION -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	03-31-01	261667			0.00						AMORTIZATION
IAM	04-30-01	265188			0.00						AMORTIZATION
IAM	05-31-01	268111			0.00						AMORTIZATION
IAM	06-30-01	271841			0.00						AMORTIZATION
IAM	07-31-01	274402			0.00						AMORTIZATION
IAM	08-31-01	276938			0.00						AMORTIZATION
IAM	09-30-01	280057			0.00						AMORTIZATION
IAM	10-31-01	283231			0.00						AMORTIZATION
IAM	11-30-01	286163			0.00						AMORTIZATION
IAM	12-31-01	289391			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MG1	IL.7F0608	Reg Trans Auth,IL 7.75% 6/1/08	500,000.000	PAR	112.488	562,440.00	118.707	12-31-01	593,535.00	31,095.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MG1	IL.SCHDMD	State of Illinois DEMAND NOTE									
SAL	01-02-01	248831	-92,000.000	100.000		92,000.00	-92,000.00	0.00			STATE OF ILLINOIS STATE SCHOLARSHIP COMMISSION UNDIVIDED INTEREST IN DEMAND NOTE
	TOTAL -		-92,000.000		0.00	92,000.00	-92,000.00	0.00	0	0.00	
MG1	IN.600711	Lawrence Township 6 7/8% 07/11									
IAM	01-31-01	250604			0.00						AMORTIZATION
IAM	02-28-01	255349			0.00						AMORTIZATION
IAM	03-31-01	261868			0.00						AMORTIZATION
IAM	04-30-01	265189			0.00						AMORTIZATION
IAM	05-31-01	268112			0.00						AMORTIZATION
IAM	06-30-01	271842			0.00						AMORTIZATION
IAM	07-31-01	274403			0.00						AMORTIZATION
IAM	08-31-01	276939			0.00						AMORTIZATION
IAM	09-30-01	280058			0.00						AMORTIZATION
IAM	10-31-01	283232			0.00						AMORTIZATION
IAM	11-30-01	286164			0.00						AMORTIZATION
IAM	12-31-01	289392			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
M31	IN.600711	Lawrence Township 6 7/8% 07/11	2,000,000.000	PAR	110.221	2,204,420.00	119.669	12-31-01	2,313,380.00	108,960.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MG1	JPMFEDTE	JP Morgan Insti. Fed. Tx Ex Fd									
SAL	01-02-01	248926	-256,372.320	1.000		256,372.32	-256,372.32	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	01-03-01	248924	114,533.300	1.000	114,533.30				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	01-04-01	248925	520,635.000	1.000	520,635.00				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	01-05-01	248943	-298,466.670	1.000		298,466.67	-298,466.67	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	01-09-01	246950	-40,719.260	1.000		40,719.26	-40,719.26	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	01-10-01	248948	35,966.770	1.000	35,966.77				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	01-19-01	248949	2,146,900.000	1.000	2,146,900.00				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	01-23-01	249571	666.670	1.000	666.67				0	0.00	Institutional Fed MM Sweep Fd
SAL	02-01-01	251725	-178,000.000	1.000		178,000.00	-178,000.00	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	02-20-01	252210	-1,987,714.000	1.000		1,987,714.00	-1,987,714.00	0.00			Institutional Fed MM Sweep Fd
SAL	02-27-01	252211	-15,638.400	1.000		15,638.40	-15,638.40	0.00			Institutional Fed MM Sweep Fd
SAL	03-01-01	256938	-450,841.340	1.000		450,841.34	-450,841.34	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	03-15-01	256952	395,112.550	1.000	395,112.55				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	03-29-01	259228	37,497.740	1.000	37,497.74				0	0.00	Instit. Fed. MM Sweep Fund
PUR	04-02-01	262870	2,048,509.810	1.000	2,048,509.81				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	04-02-01	262871	-2,481,120.100	1.000		2,481,120.10	-2,481,120.10	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	04-03-01	262877	1,032,947.100	1.000	1,032,947.10				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	04-16-01	262879	-1,032,947.100	1.000		1,032,947.10	-1,032,947.10	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	04-18-01	262882	287,518.100	1.000	287,518.10				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	04-20-01	263784	-63,033.940	1.000		63,033.94	-63,033.94	0.00			Instit. Fed MM Sweep Fund
SAL	05-01-01	266137	-560.130	1.000		560.13	-560.13	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	05-18-01	267808	-11,762.300	1.000		11,762.30	-11,762.30	0.00			Prime Money Market Sweep Fund
SAL	05-24-01	267115	-212,161.730	1.000		212,161.73	-212,161.73	0.00			Instit. Fed MM Sweep Fund
PUR	05-30-01	267112	215,861.730	1.000	215,861.73				0	0.00	Instit. Federal MM Sweep Fund
PUR	06-21-01	269715	1,067,357.900	1.000	1,067,357.90				0	0.00	Institutional Fed MM Sweep Fd
PUR	07-02-01	272706	148,820.740	1.000	148,820.74				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL	07-02-01	272707	-36,408.450	1.000		36,408.45	-36,408.45	0.00			INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	07-05-01	272719	1,333,200.000	1.000	1,333,200.00				0	0.00	INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR	07-16-01	273049	44,516.090	1.000	44,516.09				0	0.00	Instit. Fed. MM Sweep Fund
SAL	07-18-01	273052	-1,420,000.000	1.000		1,420,000.00	-1,420,000.00	0.00			Instit. Fed. MM Sweep Fund
PUR	07-31-01	273703	6,663.870	1.000	6,663.87				0	0.00	Instit Fed MM Sweep Fund

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                                                                         Market Street Trust Company
04-23-02                                                          PURCHASE / SALE DETAIL HISTORY REPORT                                                         PAGE 10
PC3.1                                                             BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                              REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
---- -------- ----------   ----------------- --------- ------------ ------------- --------------- ------------- ----------- ------------ -----------
PUR  08-01-01     274644       867,000.000     1.000    867,000.00                                                        0         0.00 Instit. Fed. MM Sweep fund
SAL  08-03-01     274643    -1,200,000.000     1.000                 1,200,000.00   -1,200,000.00          0.00                          Instit. Fed. MM Sweep Fund
PUR  08-06-01     274649       199,700.000     1.000    199,700.00                                                        0         0.00 Instit. Fed. MM Sweep fund
PUR  09-04-01     278193       191,750.000     1.000    191,750.00                                                        0         0.00 INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
SAL  09-04-01     278194      -880,000.000     1.000                   880,000.00     -880,000.00          0.00                          INSTITUTIONAL FEDERAL MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 1:30 PM EST)
PUR  09-24-01     278976     1,159,664.910     1.000  1,159,664.91                                                        0         0.00 Instit. Fed. MM Sweep Fund
PUR  10-01-01     281125     2,062,800.210     1.000  2,062,800.21                                                        0         0.00 JP MORGAN INSTITUTIONAL FEDERAL MONEY MARKET INSTITUTIONAL CLASS SWEEP FUND (836
PUR  10-15-01     281133         2,242.440     1.000      2,242.44                                                        0         0.00 JP MORGAN INSTITUTIONAL FEDERAL MONEY MARKET INSTITUTIONAL CLASS SWEEP FUND (836
PUR  10-15-01     281134        39,035.200     1.000     39,035.20                                                        0         0.00 JP MORGAN INSTITUTIONAL FEDERAL MONEY MARKET INSTITUTIONAL CLASS SWEEP FUND (836
SAL  10-15-01     281135    -3,375,880.000     1.000                 3,375,880.00   -3,375,880.00          0.00                          JP MORGAN INSTITUTIONAL FEDERAL MONEY MARKET INSTITUTIONAL CLASS SWEEP FUND (836
SAL  10-17-01     281672       -84,823.580     1.000                    84,823.58      -84,823.58          0.00                          JPM Federal Instit. MM Sweep
PUR  11-01-01     284154     1,175,746.000     1.000  1,175,746.00                                                        0         0.00 JP MORGAN INSTITUTIONAL FEDERAL MONEY MARKET INSTITUTIONAL CLASS SWEEP FUND (836
SAL  11-23-01     284760    -1,009,841.200     1.000                 1,009,841.20   -1,009,841.20          0.00                          JP MORGAN INSTITUTIONAL FEDERAL MONEY MARKET INSTITUTIONAL CLASS SWEEP FUND (836
PUR  12-03-01     287246     1,423,791.000     1.000  1,423,791.00                                                  305,934   305,933.85 JPM Instit. Fed MM Sweep Fund
SAL  12-04-01     287248    -1,613,367.000     1.000                 1,613,367.00   -1,613,367.00          0.00                          JPM Instit. Fed. MM Sweeep Fd
PUR  12-07-01     287247        90,000.000     1.000     90,000.00                                                   90,000    90,000.00 JPM Instit. Fed MM Sweep Fund
SAL  12-14-01     287700       -11,896.010     1.000                    11,896.01      -11,896.01          0.00                          JPM Instit. Fed MM Sweep Fund
                           -----------------         ------------ ------------- --------------- ------------- ----------- ------------
     TOTAL -                   -13,116.400           16,648,437.13) 16,661,553.53  -16,661,553.53          0.00     395,934   395,933.85

MG1  JPMSWEEP  J P Morgan Money Market Sweep
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM     AVERAGE          COST    PRICE   DATE     MARKET VALUE  UNREALIZED G/L
     MG1   JPMSWEEP  J P Morgan Money Market Sweep     502,126.230 UNTS     1.000    502,126.23    1.000 12-31-01          0.00     -502,126.23

MG1  LA.4H0906  New orleans T/B 4.82% 9/15/06
PUR  02-28-01     255151     1,000,000.000   100.000  1,000,000.00                                                  948,820   948,820.04 New Orleans T/B 4.82% 09/15/06
SAL  07-16-01     273722       -51,179.960   100.000                    51,179.96      -51,179.96          0.00                          New Orleans TE 4.82% 09/15/06
                           -----------------         ------------ ------------- --------------- ------------- ----------- ------------
     TOTAL -                   948,820.040            1,000,000.00     51,179.96      -51,179.96          0.00     948,820   948,820.04

MG1  MA.5F0910  Fitchburg Coll. 5.85% 9/27/10
IAM  01-31-01     250605                                      0.00                                                                       AMORTIZATION
IAM  02-28-01     255160                                      0.00                                                                       AMORTIZATION
SAL  03-27-01     259226       -37,497.740   100.000                    37,497.74      -38,116.26       -618.52                          Fitchburg Coll 5.85% 09/27/10
IAM  03-31-01     261669                                      0.00                                                                       AMORTIZATION
IAM  04-30-01     265190                                      0.00                                                                       AMORTIZATION
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	05-31-01	268113			0.00						AMORTIZATION
IAM	06-30-01	271843			0.00						AMORTIZATION
IAM	07-31-01	274404			0.00						AMORTIZATION
IAM	08-31-01	276940			0.00						AMORTIZATION
IAM	09-30-01	280059			0.00						AMORTIZATION
SAL	10-02-01	281136	-38,594.820	100.000		38,594.82	-39,231.43	-636.61			Fitchburg College 5.85% 9/27/1
IAM	10-31-01	283233			0.00						AMORTIZATION
IAM	11-30-01	286165			0.00						AMORTIZATION
IAM	12-31-01	289393			0.00						AMORTIZATION
	TOTAL -		-76,092.560		0.00	76,092.56	-77,347.69	-1,255.13	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MG1	MA.5F0910	Fitchburg Coll. 5.85% 9/27/10	884,163.460	PAR	101.649	898,767.88	105.094	12-31-01	970,971.28	72,203.40

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MG1	MA.6D0808	Comm of MA Unl. Tax 6.8% 08/08									
IAM	01-31-01	250606			0.00						AMORTIZATION
IAM	02-28-01	255351			0.00						AMORTIZATION
IAM	03-31-01	261670			0.00						AMORTIZATION
IAM	04-30-01	265191			0.00						AMORTIZATION
IAM	05-31-01	268114			0.00						AMORTIZATION
IAM	06-30-01	271844			0.00						AMORTIZATION
IAM	07-31-01	274405			0.00						AMORTIZATION
SAL	08-01-01	274642	-2,000,000.000	115.872		2,317,440.00	-2,169,280.00	148,160.00			Comm. of MA Tx 6.5% 08/01/08
	TOTAL -		-2,000,000.000		0.00	2,317,440.00	-2,169,280.00	148,160.00	0	0.00	
MG1	MA.7X0308	MA Bay Trans 7% 03/01/08									
IAM	01-31-01	250607			0.00						AMORTIZATION
IAM	02-28-01	255352			0.00						AMORTIZATION
IAM	03-31-01	261671			0.00						AMORTIZATION
IAM	04-30-01	265192			0.00						AMORTIZATION
IAM	05-31-01	268115			0.00						AMORTIZATION
IAM	06-30-01	271845			0.00						AMORTIZATION
IAM	07-31-01	274406			0.00						AMORTIZATION
IAM	08-31-01	276941			0.00						AMORTIZATION

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                                                                              Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                    PAGE 12
PC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                                      REMAINING     REMAINING
ENTITY INVESTMENT DESCRIPTION -
TYPE  TXN DATE TXN NUMBER          QUANTITY        PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY     COST BASIS  DESCRIPTION
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IAM   09-30-01     280060                                        0.00                                                                            AMORTIZATION
IAM   10-31-01     283234                                        0.00                                                                            AMORTIZATION
IAM   11-30-01     286166                                        0.00                                                                            AMORTIZATION
IAM   12-31-01     289394                                        0.00                                                                            AMORTIZATION
                                  -------------              ------------  ------------  --------------  ------------   ------------  ------------
      TOTAL -                             0.000                      0.00          0.00            0.00          0.00              0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      MG1    MA.7X0308  MA Bay Trans 7% 03/01/08        500,000.000 PAR        102.687    513,435.00    114.923 12-31-01     574,615.00       61,180.00

MG1    MD.4Q0704  MD Tx Exmpt  4.893% 07/01/04
SAL   01-19-01     248951       -114,533.300     100.000                 114,533.30   -115,175.95       -642.65                                 PRICE
IAM   01-31-01     250608                                        0.00                                                                            AMORTIZATION
IAM   02-28-01     255363                                        0.00                                                                            AMORTIZATION
IAM   03-31-01     261672                                        0.00                                                                            AMORTIZATION
IAM   04-30-01     265193                                        0.00                                                                            AMORTIZATION
IAM   05-31-01     268126                                        0.00                                                                            AMORTIZATION
IAM   06-30-01     271846                                        0.00                                                                            AMORTIZATION
SAL   07-11-01     272721       -117,337.660     100.000                 117,337.66   -117,996.04       -658.38                                 STATE OF MARYLAND TAX EXEMPT
IAM   07-31-01     274407                                        0.00                                                                            AMORTIZATION
IAM   08-31-01     276942                                        0.00                                                                            AMORTIZATION
IAM   09-30-01     280061                                        0.00                                                                            AMORTIZATION
IAM   10-31-01     283235                                        0.00                                                                            AMORTIZATION
IAM   11-30-01     286167                                        0.00                                                                            AMORTIZATION
IAM   12-31-01     289395                                        0.00                                                                            AMORTIZATION
                                  -------------              ------------  ------------  --------------  ------------   ------------  ------------
      TOTAL -                      -231,870.960                      0.00    231,870.96     -233,171.99     -1,301.03              0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      MG1    MD.4Q0704  MD Tx Exmpt  4.893% 07/01/04    513,288.050 PAR        100.561    516,167.98    102.490 12-31-01     649,272.85      133,104.87

MG1    MD.5B0705  Baltimore C.C. 5.184% 07/01/05
SAL   01-19-01     248952        -35,966.770     100.000                  35,966.77    -36,248.44       -281.67                                 PRICE AS OF 01/02/01
IAM   01-31-01     250609                                        0.00                                                                            AMORTIZATION
IAM   02-28-01     256364                                        0.00                                                                            AMORTIZATION
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                                                                   Market Street Trust Company
                                                                PURCHASE / SALE DETAIL HISTORY REPORT
04-23-02                                                        BOOK BASIS  -  FROM 01-01-01 TO 12-31-01
FC3.3
                                                                                                   REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION
TYPE  TXN DATE TXN NUMBER        QUANTITY       PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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IAM   03-31-01     261673                                     0.00                                                                      AMORTIZATION
IAM   04-30-01     265194                                     0.00                                                                      AMORTIZATION
IAM   05-31-01     268117                                     0.00                                                                      AMORTIZATION
IAM   06-30-01     271847                                     0.00                                                                      AMORTIZATION
SAL   07-11-01     272722      -96,483.080     100.000                  96,483.08      -97,238.67       -755.59                         STATE OF MARYLAND TAX EXEMPT
IAM   07-31-01     274408                                     0.00                                                                      AMORTIZATION
IAM   08-31-01     276943                                     0.00                                                                      AMORTIZATION
IAM   09-30-01     280062                                     0.00                                                                      AMORTIZATION
IAM   10-31-01     283236                                     0.00                                                                      AMORTIZATION
IAM   11-30-01     286168                                     0.00                                                                      AMORTIZATION
IAM   12-31-01     289396                                     0.00                                                                      AMORTIZATION
                               ---------------              ----------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                 -132,449.850                    0.00     132,449.85     -133,487.11     -1,037.26          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MG1    MD.SB0706  Baltimore C.C. 5.184% 07/01/05  768,590.950 PAR   100.783    774,610.04   104.064  12-31-01    902,807.39     128,197.35

MG1   MD.ADJ0706 Maryland TE No 20 07/02/06
PUR   11-21-01     286122    1,000,000.000     100.984  1,009,841.20                                              1,000,000  1,009,841.20 Maryland TE No. 20 07/02/06
                               ---------------              ----------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                1,000,000.000              1,009,841.20          0.00            0.00          0.00   1,000,000  1,009,841.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MG1    MD.ADJ0706 Maryland TE No 20 07/02/06  965,023.510 PAR   100.984    974,520.60   100.128  12-31-01  1,001,280.00      26,789.50

MG1   MI.SD1006  MI Bldg Auth 5.5% 10/15/06
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MG1    MI.SD1006  MI Bldg Auth 5.5% 10/15/06  2,535,000.000 PAR   108.790  2,681,776.50   107.826  12-31-01  2,733,389.10      51,612.60

MG1   MI.SP0804  MI St Hosp 5.75% 08/15/04
IAM   01-31-01     250610                                     0.00                                                                      AMORTIZATION
IAM   02-28-01     255355                                     0.00                                                                      AMORTIZATION
IAM   03-31-01     261674                                     0.00                                                                      AMORTIZATION
IAM   04-30-01     265195                                     0.00                                                                      AMORTIZATION
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ENTITY INVESTMENT DESCRIPTION --                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY     COST BASIS  DESCRIPTION
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IAM   05-31-01     268118                                      0.00                                                                       AMORTIZATION
IAM   06-30-01     271848                                      0.00                                                                       AMORTIZATION
IAM   07-31-01     274409                                      0.00                                                                       AMORTIZATION
IAM   08-31-01     276944                                      0.00                                                                       AMORTIZATION
IAM   09-30-01     280063                                      0.00                                                                       AMORTIZATION
IAM   10-31-01     283237                                      0.00                                                                       AMORTIZATION
IAM   11-30-01     286169                                      0.00                                                                       AMORTIZATION
IAM   12-31-01     289397                                      0.00                                                                       AMORTIZATION
                               ------------             ------------ ------------- --------------- -------------  -----------  ------------
      TOTAL -                         0.000                    0.00          0.00            0.00          0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE             COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MG1    MI.5F0804  MI St Hosp 5.76% 08/15/04    1,445,000.000 PAR        102.664     1,483,494.80    105.390  12-31-01   1,522,885.50       39,390.70

MG1    MN.5B1204  City of Minneap. 5.25% 12/1/04
IAM   01-31-01     250611                                      0.00                                                                       AMORTIZATION
IAM   02-28-01     265356                                      0.00                                                                       AMORTIZATION
IAM   03-31-01     261675                                      0.00                                                                       AMORTIZATION
IAM   04-30-01     265196                                      0.00                                                                       AMORTIZATION
IAM   05-31-01     268119                                      0.00                                                                       AMORTIZATION
IAM   06-30-01     271849                                      0.00                                                                       AMORTIZATION
IAM   07-31-01     274410                                      0.00                                                                       AMORTIZATION
IAM   08-31-01     276945                                      0.00                                                                       AMORTIZATION
IAM   09-30-01     280064                                      0.00                                                                       AMORTIZATION
IAM   10-31-01     283238                                      0.00                                                                       AMORTIZATION
IAM   11-30-01     286170                                      0.00                                                                       AMORTIZATION
IAM   12-31-01     289398                                      0.00                                                                       AMORTIZATION
                               ------------             ------------ ------------- --------------- -------------  -----------  ------------
      TOTAL -                         0.000                    0.00          0.00            0.00          0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE             COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MG1    MN.5B1204  City of Minneap. 5.25% 12/1/04  2,000,000.000 PAR     102.209     2,044,180.00    106.478  12-31-01   2,129,560.00       85,380.00

MG1    MS.6F0907  Jackson Wtr&Swr 6.75% 09/1/07
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                                                                                    Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT
FC3.1                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                                REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                              QUANTITY UOM         AVERAGE            COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      MG1    MS.6F0907  Jackson Wtr&Swr 6.75% 09/1/07        1,015,000.000 PAR        109.343    1,109,831.45   113.521  12-31-01  1,152,238.15       42,406.70

MG1    NC.40304   NC Pub Imp Unlim Tx 4% 3/1/04
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                              QUANTITY UOM         AVERAGE            COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      MG1    NC.40304   NC Pub Imp Unlim Tx 4% 3/1/04        2,000,000.000 PAR        100.144    2,002,880.00                                       -2,002,880.00

MG1    NH.7E0716  New Hampshire 7 5/8% 07/01/16
IAM   01-31-01       250612                                          0.00                                                                          AMORTIZATION
IAM   02-28-01       256357                                          0.00                                                                          AMORTIZATION
IAM   03-31-01       261676                                          0.00                                                                          AMORTIZATION
IAM   04-30-01       265197                                          0.00                                                                          AMORTIZATION
IAM   05-31-01       268120                                          0.00                                                                          AMORTIZATION
IAM   06-30-01       271850                                          0.00                                                                          AMORTIZATION
IAM   07-31-01       274413                                          0.00                                                                          AMORTIZATION
IAM   08-31-01       276946                                          0.00                                                                          AMORTIZATION
IAM   09-30-01       280065                                          0.00                                                                          AMORTIZATION
IAM   10-31-01       283239                                          0.00                                                                          AMORTIZATION
IAM   11-30-01       286171                                          0.00                                                                          AMORTIZATION
IAM   12-31-01       289399                                          0.00                                                                          AMORTIZATION
                                  --------------            ------------- ------------- -------------- -------------  ------------ ------------
      TOTAL -                              0.000                     0.00          0.00           0.00          0.00             0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                              QUANTITY UOM         AVERAGE            COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      MG1    NH.7E0716  New Hampshire 7 5/8% 07/01/16        2,420,000.000 PAR        110.585    2,676,157.00   111.174  12-31-01  2,690,410.80       14,253.80

MG1    NJ.680110X NJ Garden State PWY 6.2% 01/10
IAM   01-31-01       250613                                          0.00                                                                          AMORTIZATION
IAM   02-28-01       255358                                          0.00                                                                          AMORTIZATION
IAM   03-31-01       261677                                          0.00                                                                          AMORTIZATION
IAM   04-30-01       265198                                          0.00                                                                          AMORTIZATION
IAM   05-31-01       268121                                          0.00                                                                          AMORTIZATION
IAM   06-30-01       271851                                          0.00                                                                          AMORTIZATION
IAM   07-31-01       274412                                          0.00                                                                          AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	08-31-01	276947			0.00						AMORTIZATION
IAM	09-30-01	280066			0.00						AMORTIZATION
IAM	10-31-01	283240			0.00						AMORTIZATION
IAM	11-30-01	286172			0.00						AMORTIZATION
IAM	12-31-01	289400			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MG1	NJ.6B0110X NJ Garden State PWY 6.2% 01/10	2,000,000.000	PAR	106.729	2,134,580.00	111.393	12-31-01	2,227,860.00	93,280.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MG1	NV.5D0608 Clk Cty NV Sch Dst 5.5% 6/15/0										
SAL	01-16-01	248947	-2,000,000.000	107.345		2,146,900.00	-2,161,380.00	-14,480.00			CLARK COUNTY SCHOOL DISTRICT NEV SCH IMP LIMITED TAX 5 1/2% JUN 15 2008 DTD 5/1/
	TOTAL -		-2,000,000.000		0.00	2,146,900.00	-2,161,380.00	-14,480.00	0	0.00	
MG1	NY.6D70103 NYS Dormitory Auth 6% 7/1/03										
IAM	01-31-01	250614			0.00						AMORTIZATION
IAM	02-28-01	255359			0.00						AMORTIZATION
IAM	03-31-01	261678			0.00						AMORTIZATION
IAM	04-30-01	265199			0.00						AMORTIZATION
IAM	05-31-01	268122			0.00						AMORTIZATION
IAM	06-30-01	271852			0.00						AMORTIZATION
IAM	07-31-01	274413			0.00						AMORTIZATION
IAM	08-31-01	276948			0.00						AMORTIZATION
IAM	09-30-01	280067			0.00						AMORTIZATION
SAL	10-15-01	281138	-500,000.000	105.974		529,870.00	-537,125.00	-7,255.00			NEW YORK STATE DORMITORY AUTH REVS CITY UNIV SYS CONS 2ND SER 6% B JUL 1 2003 DT
	TOTAL -		-500,000.000		0.00	529,870.00	-537,125.00	-7,255.00	0	0.00	
MG1	NY.60707 NYS Dormitory Sinai 6% 07/07										
IAM	01-31-01	250615			0.00						AMORTIZATION
IAM	02-28-01	255360			0.00						AMORTIZATION
IAM	03-31-01	261679			0.00						AMORTIZATION
IAM	04-30-01	265200			0.00						AMORTIZATION
IAM	05-31-01	268123			0.00						AMORTIZATION

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	06-18-01	269716	-1,010,000.000	105.679		1,067,357.90	-1,018,635.50	48,722.40			NYS Dorm-Sinai 6% 07/01/07
	TOTAL -		-1,010,000.000		0.00	1,067,357.90	-1,018,635.50	48,722.40	0	0.00	
MG1	NY.6E0103 Power Auth Of State Of NY										
SAL	10-15-01	281139	-1,000,000.000	105.267		1,052,670.00	-1,046,920.00	5,750.00			POWER AUTH OF THE STATE OF N Y GENL PURP REF 6 5/8% M JAN 1 2003 DTD 12/1/90 ESC
	TOTAL -		-1,000,000.000		0.00	1,052,670.00	-1,046,920.00	5,750.00	0	0.00	
MG1	OH.5B0503 State of Ohio 5.25% 05/01/03										
IAM	01-31-01	250616			0.00						AMORTIZATION
IAM	02-28-01	255361			0.00						AMORTIZATION
IAM	03-31-01	261680			0.00						AMORTIZATION
SAL	04-02-01	262889	-1,000,000.000	103.601		1,036,010.00	-1,014,400.00	21,610.00			Ohio HWY Cap Tax 5.25% 5/1/03
	TOTAL -		-1,000,000.000		0.00	1,036,010.00	-1,014,400.00	21,610.00	0	0.00	
MG1	OH.5D0226 Ohio Turnpike 5.5% 02/15/26										
IAM	01-31-01	250617			0.00						AMORTIZATION
IAM	02-28-01	255362			0.00						AMORTIZATION
IAM	03-31-01	261681			0.00						AMORTIZATION
IAM	04-30-01	265201			0.00						AMORTIZATION
IAM	05-31-01	268124			0.00						AMORTIZATION
IAM	06-30-01	271853			0.00						AMORTIZATION
IAM	07-31-01	274414			0.00						AMORTIZATION
IAM	08-31-01	276949			0.00						AMORTIZATION
IAM	09-30-01	280068			0.00						AMORTIZATION
IAM	10-31-01	283241			0.00						AMORTIZATION
IAM	11-30-01	286173			0.00						AMORTIZATION
IAM	12-31-01	289401			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MG1	OH.5D0226	Ohio Turnpike 5.5% 02/15/26	1,550,000.000	PAR	105.710	1,638,505.00	109.250	12-31-01	1,693,375.00	54,870.00

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                                                                 Market Street Trust Company
04-21-02                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                      PAGE 18
FC1.3                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                            REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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MG1    PA.7C0904  Philadelphia Wtr&Swr 7.35 0904
IAM   01-31-01    250618                                      0.00                                                                     AMORTIZATION
IAM   02-28-01    255363                                      0.00                                                                     AMORTIZATION
IAM   03-31-01    261682                                      0.00                                                                     AMORTIZATION
IAM   04-30-01    265202                                      0.00                                                                     AMORTIZATION
IAM   05-31-01    268125                                      0.00                                                                     AMORTIZATION
IAM   06-30-01    271854                                      0.00                                                                     AMORTIZATION
SAL   07-31-01    274382      -85,000.000    100.000                   85,000.00   -91,163.35    -6,163.35                             Philadelphia 7.35% 09/01/04
IAM   07-31-01    274416                                      0.00                                                                     AMORTIZATION
IAM   08-31-01    276950                                      0.00                                                                     AMORTIZATION
IAM   09-30-01    280069                                      0.00                                                                     AMORTIZATION
IAM   10-31-01    283242                                      0.00                                                                     AMORTIZATION
IAM   11-30-01    286174                                      0.00                                                                     AMORTIZATION
IAM   12-31-01    289402                                      0.00                                                                     AMORTIZATION
                            -------------             ------------ ------------ ------------- ------------  ----------  -----------
      TOTAL -                 -85,000.000                     0.00    85,000.00   -91,163.35    -6,163.35           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      MG1    PA.7C0904  Philadelphia Wtr&Swr 7.35 0904   1,155,000.000 PAR       107.251   1,238,749.05    107.829 12-31-01   1,245,424.95        6,675.90

MG1    RI.70403   Pawtucket RI 7% 4/15/03
IAM   01-31-01    250619                                      0.00                                                                     AMORTIZATION
IAM   02-28-01    255364                                      0.00                                                                     AMORTIZATION
IAM   03-31-01    261683                                      0.00                                                                     AMORTIZATION
IAM   04-30-01    265203                                      0.00                                                                     AMORTIZATION
IAM   05-31-01    268126                                      0.00                                                                     AMORTIZATION
IAM   06-30-01    271855                                      0.00                                                                     AMORTIZATION
IAM   07-31-01    274416                                      0.00                                                                     AMORTIZATION
IAM   08-31-01    276551                                      0.00                                                                     AMORTIZATION
IAM   09-30-01    280070                                      0.00                                                                     AMORTIZATION
IAM   10-31-01    283243                                      0.00                                                                     AMORTIZATION
IAM   11-30-01    286175                                      0.00                                                                     AMORTIZATION
SAL   12-06-01    287249   -1,500,000.000    105.916                1,588,740.00 -1,655,400.00   -66,660.00                             City of Pawtucket R.I. Genl Ob
                           --------------             ------------ ------------ ------------- ------------  ----------  -----------
      TOTAL -              -1,500,000.000                     0.00 1,588,740.00 -1,655,400.00   -66,660.00           0         0.00
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                                                                        Market Street Trust Company
04-23-02                                                              PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 19
FC3.3                                                                 BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                               REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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MG1   RI.7D0814  RI Dep Economic 7.5% 8/1/14
IAM   01-31-01     250620                                        0.00                                                                     AMORTIZATION
IAM   01-31-01     250621                                        0.00                                                                     AMORTIZATION
IAM   02-28-01     255366                                        0.00                                                                     AMORTIZATION
IAM   02-28-01     255366                                        0.00                                                                     AMORTIZATION
IAM   03-31-01     261684                                        0.00                                                                     AMORTIZATION
IAM   03-31-01     261686                                        0.00                                                                     AMORTIZATION
SAL   04-17-01     262893       -700,000.000     103.034                   721,238.00     -787,892.00    -66,654.00                           RI Econ Protect 7.5% 08/1/14
IAM   04-30-01     265204                                        0.00                                                                     AMORTIZATION
IAM   05-31-01     268127                                        0.00                                                                     AMORTIZATION
IAM   06-30-01     271856                                        0.00                                                                     AMORTIZATION
IAM   07-31-01     274417                                        0.00                                                                     AMORTIZATION
SAL   08-01-01     274638       -850,000.000     102.000                   867,000.00     -970,164.50   -103,164.50                           RI Dep. Econ. 7.5% 08/01/14
                           ----------------             -------------  ------------- --------------- ------------- ---------- ------------
      TOTAL -                 -1,550,000.000                     0.00   1,588,238.00   -1,758,056.50   -169,818.50          0         0.00

MG1   SC.4H0106  SC Public Service 4.93% 01/06
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MG1    SC.4H0106  SC Public Service 4.93% 01/06    1,000,000.000 PAR      100.000  1,000,000.00                                  -1,000,000.00

MG1   SC.6B0122  Piedmont Mun Power 6.3% 1/1/22
IAM   01-31-01     250622                                        0.00                                                                     AMORTIZATION
IAM   02-28-01     255367                                        0.00                                                                     AMORTIZATION
SAL   03-01-01     256944     -1,000,000.000     106.590                 1,065,900.00   -1,057,980.00      7,920.00                           PIEDMONT MUNICIPAL POWER AGENCY S C ELEC REV REF 6.30% JAN 1 2022 DTD 11/1/92 ME
IAM   03-31-01     261686                                        0.00                                                                     AMORTIZATION
IAM   04-30-01     265205                                        0.00                                                                     AMORTIZATION
IAM   05-31-01     268128                                        0.00                                                                     AMORTIZATION
IAM   06-30-01     271857                                        0.00                                                                     AMORTIZATION
IAM   07-31-01     274418                                        0.00                                                                     AMORTIZATION
IAM   08-31-01     276952                                        0.00                                                                     AMORTIZATION
IAM   09-30-01     280071                                        0.00                                                                     AMORTIZATION
IAM   10-31-01     283244                                        0.00                                                                     AMORTIZATION
IAM   11-30-01     286176                                        0.00                                                                     AMORTIZATION
IAM   12-31-01     289403                                        0.00                                                                     AMORTIZATION
                           ----------------             -------------  ------------- --------------- ------------- ---------- ------------
      TOTAL -                 -1,000,000.000                     0.00   1,065,900.00   -1,057,980.00      7,920.00          0         0.00
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                                                                              Market Street Trust Company
04-23-02                                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                                            PAGE 20
FC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                           REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS      QUANTITY     COST BASIS  DESCRIPTION
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    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE           COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
    M31    SC.680122  Piedmont Mun Power 6.3% 1/1/22          1,000,000.000 PAR        105.798    1,057,980.00    106.255  12-31-01    1,062,950.00        4,970.00

M31    TN.50507   Tenn. Genl Purp Tx 5% 05/01/07
PUR   08-01-01      274650     2,000,000.000    105.887  2,117,740.00                                                   2,000,000   2,117,740.00  Tenn Genl Purp Tx 5% 05/01/07
IAM   08-31-01      276953                                      0.00                                                                              AMORTIZATION
IAM   09-30-01      280072                                      0.00                                                                              AMORTIZATION
IAM   10-31-01      283245                                      0.00                                                                              AMORTIZATION
IAM   11-30-01      286177                                      0.00                                                                              AMORTIZATION
IAM   12-31-01      289404                                      0.00                                                                              AMORTIZATION
                              ---------------             ------------  ------------- --------------- -------------  ------------  ------------
    TOTAL -                    2,000,000.000              2,117,740.00           0.00            0.00          0.00     2,000,000   2,117,740.00

    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE           COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
    M31    TN.50507   Tenn. Genl Purp Tx 5% 05/01/07          1,000,000.000 PAR        105.887    1,058,870.00    104.917  12-31-01    2,098,340.00    1,039,470.00

M31    TX.580806  Dlas TX Conv Ctr 5.25% 8/15/06
IAM   01-31-01      250623                                      0.00                                                                              AMORTIZATION
IAM   02-28-01      255368                                      0.00                                                                              AMORTIZATION
IAM   03-31-01      261687                                      0.00                                                                              AMORTIZATION
IAM   04-30-01      265206                                      0.00                                                                              AMORTIZATION
IAM   05-31-01      268129                                      0.00                                                                              AMORTIZATION
IAM   06-30-01      271858                                      0.00                                                                              AMORTIZATION
IAM   07-31-01      274419                                      0.00                                                                              AMORTIZATION
IAM   08-31-01      276954                                      0.00                                                                              AMORTIZATION
IAM   09-30-01      280073                                      0.00                                                                              AMORTIZATION
IAM   10-31-01      283246                                      0.00                                                                              AMORTIZATION
IAM   11-30-01      286178                                      0.00                                                                              AMORTIZATION
IAM   12-31-01      289406                                      0.00                                                                              AMORTIZATION
                              ---------------             ------------  ------------- --------------- -------------  ------------  ------------
    TOTAL -                            0.000                      0.00           0.00            0.00          0.00             0           0.00
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                                                        Market Street Trust Company
                                                 PURCHASE / SALE DETAIL HISTORY REPORT
                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM       AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MG1    TX.6B0806  Dlas TX Conv Ctr 5.25% 8/15/06       2,000,000.000 PAR        105.478   2,109,560.00    106.259  12-31-01    2,125,180.00       15,620.00

MG1    TX.5D1206  Houston Wtr&Swr 5.5% 12/01/06
IAM   01-31-01      250624                                       0.00                                                                               AMORTIZATION
IAM   02-28-01      255369                                       0.30                                                                               AMORTIZATION
IAM   03-31-01      261688                                       0.00                                                                               AMORTIZATION
IAM   04-30-01      265207                                       0.00                                                                               AMORTIZATION
IAM   05-31-01      268130                                       0.00                                                                               AMORTIZATION
IAM   06-30-01      271859                                       0.00                                                                               AMORTIZATION
IAM   07-31-01      274420                                       0.00                                                                               AMORTIZATION
IAM   08-31-01      276955                                       0.00                                                                               AMORTIZATION
IAM   09-30-01      280074                                       0.00                                                                               AMORTIZATION
IAM   10-31-01      283247                                       0.00                                                                               AMORTIZATION
IAM   11-30-01      286179                                       0.00                                                                               AMORTIZATION
IAM   12-31-01      289406                                       0.00                                                                               AMORTIZATION
                              -------------              ------------  ------------- --------------- -------------  -----------  -----------
      TOTAL -                         0.000                      0.00           0.00            0.00          0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM       AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MG1    TX.5D1206  Houston Wtr&Swr 5.5% 12/01/06        1,000,000.000 PAR        102.564   1,025,640.00    107.743  12-31-01    1,077,430.00       51,790.00

MG1    TX.60909   City of Austin 6% 09/01/09
IAM   01-31-01      250625                                       0.00                                                                               AMORTIZATION
IAM   02-28-01      255370                                       0.00                                                                               AMORTIZATION
IAM   03-31-01      261689                                       0.00                                                                               AMORTIZATION
IAM   04-30-01      265208                                       0.00                                                                               AMORTIZATION
IAM   05-31-01      268131                                       0.00                                                                               AMORTIZATION
IAM   06-30-01      271860                                       0.00                                                                               AMORTIZATION
IAM   07-31-01      274421                                       0.00                                                                               AMORTIZATION
IAM   08-31-01      276956                                       0.00                                                                               AMORTIZATION
IAM   09-30-01      280075                                       0.00                                                                               AMORTIZATION
IAM   10-31-01      283248                                       0.00                                                                               AMORTIZATION
IAM   11-30-01      286180                                       0.00                                                                               AMORTIZATION
IAM   12-31-01      289407                                       0.00                                                                               AMORTIZATION
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                                                                        Market Street Trust Company
04-23-02                                                        PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 22
FC3.3                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                              REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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      TOTAL -                           0.000                  0.00          0.00            0.00          0.00           0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE         COST       PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      MG1    TX.60909   City of Austin 6% 09/01/09   1,360,000.000 PAR       104.985  1,427,796.00     110.107 12-31-01   1,497,455.20       69,659.20

MG1   TX.61003   TX Public Fnce 6% 10/1/03
IAM   01-31-01       260626                                    0.00                                                                        AMORTIZATION
IAM   02-28-01       255371                                    0.00                                                                        AMORTIZATION
IAM   03-31-01       261690                                    0.00                                                                        AMORTIZATION
IAM   04-30-01       265209                                    0.00                                                                        AMORTIZATION
IAM   05-31-01       268132                                    0.00                                                                        AMORTIZATION
IAM   06-30-01       271861                                    0.00                                                                        AMORTIZATION
IAM   07-31-01       274422                                    0.00                                                                        AMORTIZATION
IAM   08-31-01       276957                                    0.00                                                                        AMORTIZATION
IAM   09-30-01       280076                                    0.00                                                                        AMORTIZATION
IAM   10-31-01       283249                                    0.00                                                                        AMORTIZATION
SAL   11-01-01       284157          -2,000,000.000    107.003            2,140,060.00   -2,115,220.00     24,840.00                       TEXAS PUBLIC FINANCE AUTH REF 6% B OCT 1 2003 DTD 4/1/96 HELD BY DTC BOOK ENTRY
                                     ----------------            ---------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                        -2,000,000.000                    0.00  2,140,060.00   -2,115,220.00     24,840.00           0        0.00

MG1   TX.61008   TX Pbl Fnce 6% 10/01/08
IAM   01-31-01       260627                                    0.00                                                                        AMORTIZATION
IAM   02-28-01       255372                                    0.00                                                                        AMORTIZATION
IAM   03-31-01       261691                                    0.00                                                                        AMORTIZATION
IAM   04-30-01       265210                                    0.00                                                                        AMORTIZATION
IAM   05-31-01       268133                                    0.00                                                                        AMORTIZATION
IAM   06-30-01       271862                                    0.00                                                                        AMORTIZATION
IAM   07-31-01       274423                                    0.00                                                                        AMORTIZATION
IAM   08-31-01       276958                                    0.00                                                                        AMORTIZATION
IAM   09-30-01       280077                                    0.00                                                                        AMORTIZATION
IAM   10-31-01       283250                                    0.00                                                                        AMORTIZATION
IAM   11-30-01       286181                                    0.00                                                                        AMORTIZATION
IAM   12-31-01       289408                                    0.00                                                                        AMORTIZATION
                                     ----------------            ---------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                                   0.000                  0.00          0.00            0.00          0.00           0        0.00
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                                                              Market Street Trust Company
04-23-02                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                    PAGE 23
FC3.3                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                              REMAINING   REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY    PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM     AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     MG1    TX.61008   TX Pbl Fnce 6% 10/01/08      1,000,000.000 PAR     106.347  1,063,470.00   110.279 12-31-01   1,102,790.00      39,120.00

MG1   TX.6D0808  Harris Cty Toll Rd 6.5% 08/08
IAM  01-31-01    250628                                  0.00                                                                   AMORTIZATION
IAM  02-28-01    255373                                  0.00                                                                   AMORTIZATION
IAM  03-31-01    261692                                  0.00                                                                   AMORTIZATION
IAM  04-30-01    265211                                  0.00                                                                   AMORTIZATION
IAM  05-31-01    268134                                  0.00                                                                   AMORTIZATION
IAM  06-30-01    271863                                  0.00                                                                   AMORTIZATION
IAM  07-31-01    274424                                  0.00                                                                   AMORTIZATION
IAM  08-31-01    276959                                  0.00                                                                   AMORTIZATION
IAM  09-30-01    280078                                  0.00                                                                   AMORTIZATION
IAM  10-31-01    283251                                  0.00                                                                   AMORTIZATION
IAM  11-30-01    286182                                  0.00                                                                   AMORTIZATION
IAM  12-31-01    289409                                  0.00                                                                   AMORTIZATION
                              -------------         ------------ ------------- --------------- ------------- ---------- ------------
     TOTAL -                          0.000                 0.00          0.00            0.00          0.00          0         0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM     AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     MG1    TX.6D0808  Harris Cty Toll Rd 6.5% 08/08  2,000,000.000 PAR     108.901  2,178,020.00   112.724 12-31-01   2,254,480.00      76,460.00

MG1   TX.6D1105  Austin TX Util 6.5% 11/15/05
IAM  01-31-01    250629                                  0.00                                                                   AMORTIZATION
IAM  02-28-01    255374                                  0.00                                                                   AMORTIZATION
IAM  03-31-01    261693                                  0.00                                                                   AMORTIZATION
IAM  04-30-01    265212                                  0.00                                                                   AMORTIZATION
IAM  05-31-01    268135                                  0.00                                                                   AMORTIZATION
IAM  06-30-01    271864                                  0.00                                                                   AMORTIZATION
IAM  07-31-01    274425                                  0.00                                                                   AMORTIZATION
IAM  08-31-01    276960                                  0.00                                                                   AMORTIZATION
IAM  09-30-01    280079                                  0.00                                                                   AMORTIZATION
IAM  10-31-01    283252                                  0.00                                                                   AMORTIZATION
IAM  11-30-01    286183                                  0.00                                                                   AMORTIZATION
IAM  12-31-01    289410                                  0.00                                                                   AMORTIZATION
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                                                                   Market Street Trust Company
04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT                                               PAGE 24
FC3.3                                                        BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                 REMAINING   REMAINING
ENTITY INVESTMENT DESCRIPTION--
TYPE  TXN DATE TXN NUMBER       QUANTITY     PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY  COST BASIS DESCRIPTION
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      TOTAL -                    0.000                   0.00          0.00            0.00          0.00          0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MG1   TX.6D1105  Austin TX Util 6.5% 11/15/05   980,000.000 PAR    103.782  1,017,063.60   110.749  12-31-01   1,085,340.20       68,276.60

MG1   TX.6D1105A Austin TX 6.5% 11/15/05-Escrow
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MG1   TX.6D1105A Austin TX 6.5% 11/15/05-Escrow   20,000.000 PAR    103.782     20,756.40   111.476  12-31-01      22,295.20        1,538.80

MG1   TX.8G0901X AUSTIN TX 8.875% 9/1/01
IAM   01-31-01    260630                                     0.00                                                                      AMORTIZATION
IAM   02-28-01    265375                                     0.00                                                                      AMORTIZATION
IAM   03-31-01    261694                                     0.00                                                                      AMORTIZATION
IAM   04-30-01    265213                                     0.00                                                                      AMORTIZATION
IAM   05-31-01    268136                                     0.00                                                                      AMORTIZATION
IAM   06-30-01    271865                                     0.00                                                                      AMORTIZATION
IAM   07-31-01    274426                                     0.00                                                                      AMORTIZATION
IAM   08-31-01    276961                                     0.00                                                                      AMORTIZATION
SAL   09-05-01    278205        -60,000.000   100.000                   60,000.00      -70,518.00    -10,518.00                        CITY OF AUSTIN TEX PUB IMP LIMITED TAX 8 7/8% A SEP 1 2001 DTD 11/1/91HELD BY DT
                               ------------            ------------  ------------   -------------  ------------  ---------- -----------
      TOTAL -                   -60,000.000                  0.00     60,000.00      -70,518.00    -10,518.00          0        0.00

MG1   TX.980410  Dallas Cty Flood Cntl 9.25%
IAM   01-31-01    260631                                     0.00                                                                      AMORTIZATION
IAM   02-28-01    265376                                     0.00                                                                      AMORTIZATION
IAM   03-31-01    261695                                     0.00                                                                      AMORTIZATION
IAM   04-30-01    265214                                     0.00                                                                      AMORTIZATION
IAM   05-31-01    268137                                     0.00                                                                      AMORTIZATION
IAM   06-30-01    271866                                     0.00                                                                      AMORTIZATION
IAM   07-31-01    274427                                     0.00                                                                      AMORTIZATION
IAM   08-31-01    276962                                     0.00                                                                      AMORTIZATION
IAM   09-30-01    280080                                     0.00                                                                      AMORTIZATION
IAM   10-31-01    283253                                     0.00                                                                      AMORTIZATION
IAM   11-30-01    286184                                     0.00                                                                      AMORTIZATION
IAM   12-31-01    289411                                     0.00                                                                      AMORTIZATION
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                                                                                         Market Street Trust Company
04-23-03                                                                          PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 26
FCJ.1                                                                             BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                                              REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS       QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                             0.000                      0.00           0.00            0.00          0.00              0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM        AVERAGE            COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      M01    TX 980410  Dallas Cty Flood Cntl 9.28%          500,000.000 PAR        121.502      607,510.00      120.613  12-31-01      603,065.00       -4,445.00

M01    TX.ADJ8/98 Conroe Ind Dev Adj 1st 9/1/98
SAL   09-05-01       278206         -38,000.000    100.000                    38,000.00      -38,000.00          0.00                               PRICE
                                ----------------             ------------  ------------- --------------- -------------   ------------  ------------
      TOTAL -                       -38,000.000                      0.00      38,000.00      -38,000.00          0.00              0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM        AVERAGE            COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      M01    TX.ADJ8/98 Conroe Ind Dev Adj 1st 9/1/98        890,857.150 PAR        100.000      890,857.15      101.605  12-31-01      905,155.41       14,298.26

M01    TX.ADJ9101 Pearld TX Wtr & Swr ADJ 9/1/01
SAL   09-05-01       278207          -8,750.000    100.000                     8,750.00       -8,750.00          0.00                               PRICE
                                ----------------             ------------  ------------- --------------- -------------   ------------  ------------
      TOTAL -                        -8,750.000                      0.00       8,750.00       -8,750.00          0.00              0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM        AVERAGE            COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      M01    TX.ADJ9101 Pearld TX Wtr & Swr ADJ 9/1/01       491,250.000 PAR        100.000      491,250.00      100.712  12-31-01      494,747.70        3,497.70

M01    US.4A1206  CityBank Credit 4.10% 12/1/06
PUR   11-30-01       286124       1,500,000.000     99.916   1,498,740.00                                                   1,500,000  1,498,740.00  CityBank Credit 4.1% 12/01/06
                                ----------------             ------------  ------------- --------------- -------------   ------------  ------------
      TOTAL -                     1,500,000.000              1,498,740.00           0.00            0.00          0.00      1,500,000  1,498,740.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM        AVERAGE            COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      M01    US.4A1206  CityBank Credit 4.10% 12/1/06      1,500,000.000 PAR         99.916    1,498,740.00       99.468  12-31-01    1,492,020.00       -6,720.00

M01    US.5A0903  Fed. Home Ln Bk 5 1/8% 9/15/03
PUR   02-15-01       252208       2,000,000.000     99.386   1,987,714.00                                                           0          0.00  Fed. Home Ln Bk 5 1/8% 9/15/03
SAL   03-06-01       256951      -1,000,000.000    100.234                 1,002,343.75     -993,857.00      8,486.75                               FEDERAL HOME LOAN BANKS CONS 5 1/8% SEP 15 2003 DTD 9/15/98 @ 100.234375 CREDIT
SAL   09-20 01       279067      -1,000,000.000    101.735                 1,037,350.21     -993,857.00     43,493.21                               Fed. Home Ln Bk 5 1/8% 9/15/03
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION -							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
	TOTAL -		0.000		1,987,714.00	2,039,693.96	-1,987,714.00	51,979.96	0	0.00	
MG1	US.5F0108	Fed Farm Credit 5.75% 01/25/08									
PUR	05-24-01	267111	1,000,000.000	99.630	996,300.00				1,000,000	996,300.00	Fed Farm Credit 5.75% 01/25/08
	TOTAL -		1,000,000.000		996,300.00	0.00	0.00	0.00	1,000,000	996,300.00	
MG1	US.6D0609	Fed. Home Ln Bk 6.525% 6/17/09									
IAM	01-31-01	250632			0.00						AMORTIZATION
IAM	02-28-01	255377			0.00						AMORTIZATION
IAM	03-31-01	261696			0.00						AMORTIZATION
IAM	04-30-01	265215			0.00						AMORTIZATION
IAM	05-31-01	268138			0.00						AMORTIZATION
IAM	06-30-01	271867			0.00						AMORTIZATION
IAM	07-31-01	274428			0.00						AMORTIZATION
IAM	08-31-01	276963			0.00						AMORTIZATION
IAM	09-30-01	280081			0.00						AMORTIZATION
IAM	10-31-01	283254			0.00						AMORTIZATION
IAM	11-30-01	286185			0.00						AMORTIZATION
IAM	12-31-01	289412			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	
MG1	UT.5B0509	UT Ste Bldg 5.50% 05/15/09									
IAM	01-31-01	250633			0.00						AMORTIZATION
IAM	02-28-01	255378			0.00						AMORTIZATION
IAM	03-31-01	261697			0.00						AMORTIZATION
IAM	04-30-01	265216			0.00						AMORTIZATION
IAM	05-31-01	268139			0.00						AMORTIZATION
IAM	06-30-01	271868			0.00						AMORTIZATION
IAM	07-31-01	274429			0.00						AMORTIZATION
IAM	08-31-01	276964			0.00						AMORTIZATION
IAM	09-30-01	280082			0.00						AMORTIZATION
IAM	10-31-01	283255			0.00						AMORTIZATION
IAM	11-30-01	286186			0.00						AMORTIZATION
IAM	12-31-01	289413			0.00						AMORTIZATION

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                                                              Market Street Trust Company
04-23-02                                                  PURCHASE / SALE DETAIL HISTORY REPORT
FC3.1                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -                        0.000                  0.00          0.00            0.00          0.00          0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      MG1   UT.580509  UT Ste Bldg 5.50% 05/15/09   1,750,000,000 PAR      108.391  1,896,842.50    105.950 12-31-01   1,854,125.00      -42,717.50

MG1   UT.600512  Utah State Bldg 5.9% 05/15/12
IAM   01-31-01      250634                                  0.00                                                                      AMORTIZATION
IAM   02-28-01      255379                                  0.00                                                                      AMORTIZATION
IAM   03-31-01      261698                                  0.00                                                                      AMORTIZATION
IAM   04-30-01      265217                                  0.00                                                                      AMORTIZATION
IAM   05-31-01      268140                                  0.00                                                                      AMORTIZATION
IAM   06-30-01      271869                                  0.00                                                                      AMORTIZATION
IAM   07-31-01      274430                                  0.00                                                                      AMORTIZATION
IAM   08-31-01      276966                                  0.00                                                                      AMORTIZATION
IAM   09-30-01      280083                                  0.00                                                                      AMORTIZATION
IAM   10-31-01      283256                                  0.00                                                                      AMORTIZATION
IAM   11-30-01      286187                                  0.00                                                                      AMORTIZATION
IAM   12-31-01      289414                                  0.00                                                                      AMORTIZATION
                             --------------                ------------  ------------ --------------- ------------- ----------  -----------
      TOTAL -                        0.000                  0.00          0.00            0.00          0.00          0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      MG1   UT.600512  Utah State Bldg 5.9% 05/15/12 1,000,000.000 PAR      103.880  1,038,800.00    110.127 12-31-01   1,101,270.00       62,470.00

MG1   WA.60707   WA Pblc Pwr Nuc 6% 07/01/07
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      MG1   WA.60707   WA Pblc Pwr Nuc 6% 07/01/07  2,000,000.000 PAR      106.326  2,126,520.00    109.545 12-31-01   2,190,900.00       64,380.00

MG1   WA.60709   WA Pblc Pwr 6% 07/01/09
IAM   01-31-01      250635                                  0.00                                                                      AMORTIZATION
IAM   02-28-01      255380                                  0.00                                                                      AMORTIZATION
IAM   03-31-01      261699                                  0.00                                                                      AMORTIZATION
SAL   04-03-01      262692   -1,000,000.000  110.985               1,109,550.00   -1,126,980.00    -17,430.00                             Wash Pub. Pwr 6% 07/01/09
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04-23-02                                                   Market Street Trust Company
FC3.3                                                PURCHASE / SALE DETAIL HISTORY REPORT
                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -                                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS     QUANTITY    COST BASIS DESCRIPTION
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      TOTAL -                 -1,000,000.000                      0.00  1,109,550.00   -1,126,980.00    -17,430.00            0          0.00

MG1   WI.60504  WI Genl Purp 6% 05/01/04
IAM   01-31-01     250636                                          0.00                                                                      AMORTIZATION
IAM   02-28-01     255381                                          0.00                                                                      AMORTIZATION
IAM   03-31-01     261700                                          0.00                                                                      AMORTIZATION
SAL   04-02-01     262691     -1,000,000.000    106.750                 1,067,500.00   -1,098,770.00    -31,270.00                           Wisc. Genl Purp 5% 05/01/04
                              ---------------            -------------  ------------- --------------- ------------- ------------ -------------
      TOTAL -                 -1,000,000.000                      0.00  1,067,500.00   -1,098,770.00    -31,270.00            0          0.00

MG1   WI.ADJ0316 WI Hlth & Ed Lutheran Home
SAL   03-15-01     256994        -39,676.600    100.000                    39,676.60      -39,676.60          0.00                           PRICE
                              ---------------            -------------  ------------- --------------- ------------- ------------ -------------
      TOTAL -                    -39,676.600                      0.00     39,676.60      -39,676.60          0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE           COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      MG1    WI.ADJ0316 WI Hlth & Ed Lutheran Home          296,323.400 PAR       100.000     296,323.40     101.587  12-31-01     301,026.05         4,702.65

OFFIT1 AZ.4B0105  Salt River Agri 4.6% 01/01/05
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE           COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      OFFIT1 AZ.4B0105  Salt River Agri 4.6% 01/01/05     1,000,000.000 PAR        94.270     942,700.00     103.530  12-31-01   1,035,300.00        92,600.00

OFFIT1 CA.5B0602  Santa Clara CA Wtr 5.2% 6/1/02
SAL   05-16-01     267127       -500,000.000    102.177                   510,885.00     -469,180.00     41,705.00                           Santa Clara Wtr 5.2% 06/1/02
                              ---------------            -------------  ------------- --------------- ------------- ------------ -------------
      TOTAL -                   -500,000.000                      0.00    510,885.00     -469,180.00     41,705.00            0          0.00

OFFIT1 CA.6C0712  Sacramento Muni Util 5.3% 7/12
SAL   06-29-01     271785        -35,000.000    100.000                    35,000.00      -34,212.50        787.50                           Sacramento Muni Util 5.3% 7/12
                              ---------------            -------------  ------------- --------------- ------------- ------------ -------------
      TOTAL -                    -35,000.000                      0.00     35,000.00      -34,212.50        787.50            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE           COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      OFFIT1 CA.5C0712  Sacramento Muni Util 5.3% 7/12      600,000.000 PAR        97.750     586,500.00     106.368  12-31-01     638,208.00        51,708.00
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION.. TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OFFIT1	CA.5C1106	City of LA Wtrsys 5.375 11/06									
SAL	05-11-01	266153	-1,000,000.000	105.930		1,059,300.00	-992,690.00	66,610.00			CITY OF LOS ANGELES CALIF WASTEWATERSYS REV REF 5 3/8% D NOV 1 2006 DTD 10/1/93
	TOTAL -		-1,000,000.000		0.00	1,059,300.00	-992,690.00	66,610.00	0	0.00	
OFFIT1	CA.5D0609	S Fran Ultd Tx 5.5% 6/15/09									
IAM	01-31-01	250753			0.00						AMORTIZATION
SAL	02-28-01	252396	-700,000.000	110.019		770,133.00	-729,554.00	40,579.00			San Fran Unlim Tx 5.5% 6/15/09
IAM	02-28-01	255386			0.00						AMORTIZATION
IAM	03-31-01	261701			0.00						AMORTIZATION
IAM	04-30-01	265218			0.00						AMORTIZATION
SAL	05-16-01	267125	-1,500,000.000	108.548		1,628,220.00	-1,563,330.00	64,890.00			City of San Fran 5.5% 6/15/09
	TOTAL -		-2,200,000.000		0.00	2,398,353.00	-2,292,884.00	105,469.00	0	0.00	
OFFIT1	CA.5F0808	CA Hsg Fin Agy 5.0% 08/01/08									
IAM	01-31-01	250754			0.00						AMORTIZATION
IAM	02-28-01	255387			0.00						AMORTIZATION
IAM	03-31-01	261702			0.00						AMORTIZATION
IAM	04-30-01	265219			0.00						AMORTIZATION
IAM	05-31-01	268141			0.00						AMORTIZATION
IAM	06-30-01	271870			0.00						AMORTIZATION
IAM	07-31-01	274431			0.00						AMORTIZATION
IAM	08-31-01	276966			0.00						AMORTIZATION
IAM	09-30-01	280084			0.00						AMORTIZATION
IAM	10-31-01	283257			0.00						AMORTIZATION
IAM	11-30-01	286188			0.00						AMORTIZATION
IAM	12-31-01	289415			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	
OFFIT1	CA.6A1104	San Fran CA Pub Util 6 1/8%									
IAM	01-31-01	250755			0.00						AMORTIZATION
IAM	02-28-01	255388			0.00						AMORTIZATION
IAM	03-31-01	261703			0.00						AMORTIZATION
IAM	04-30-01	265220			0.00						AMORTIZATION

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                                                                               Market Street Trust Company
04-23-02                                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                                    PAGE 30
FCJ.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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SAL   05-16-01     267126     -750,000.000   105.764                     793,185.00     -762,315.00     30,840.00                            San Fran Pub Util 6 1/8% 11/04
                              --------------             ------------ -------------- --------------- -------------  ---------- ------------
      TOTAL -                 -750,000.000                       0.00    793,155.00     -762,315.00     30,840.00           0         0.00

OFFIT1 CA.ADJ0125 Sacramento Hsg Adj Rate 8/1/25
SAL   07-31-01     274383       -5,000.000   100.000                       5,000.00       -4,950.00         50.00                            Sacramento HSNG ADJ 08/01/25
                              --------------             ------------ -------------- --------------- -------------  ---------- ------------
      TOTAL -                   -5,000.000                       0.00      5,000.00       -4,950.00         50.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT1 CA.ADJ0125 Sacramento Hsg Adj Rate 8/1/25     468,000.000 PAR          99.000    460,350.00    102.839 12-31-01     479,583.30       19,233.30

OFFIT1 CO.4B0909  CO Wtr Res & Pwr 4.25% 9/1/09
SAL   03-29-01     261493     -375,000.000   100.914                     378,427.50     -372,817.50      5,610.00                            CO Water Res&Pwr 4.25% 9/01/09
                              --------------             ------------ -------------- --------------- -------------  ---------- ------------
      TOTAL -                 -375,000.000                       0.00    378,427.50     -372,817.50      5,610.00           0         0.00

OFFIT1 CO.5C0910  CO. WTR Power Dev 5.375% 09/10
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT1 CO.5C0910  CO. WTR Power Dev 5.375% 09/10     500,000.000 PAR          99.874    499,370.00    106.752 12-31-01     533,760.00       34,390.00

OFFIT1 CO.5C0911  CO. WTR Power Dev 5.4 9/01/11
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT1 CO.5C0911  CO. WTR Power Dev 5.4 9/01/11      600,000.000 PAR          99.327    595,962.00    106.043 12-31-01     636,258.00       40,296.00

OFFIT1 CO.5D0108  City&Cnty Denver 5.5% 01/01/08
IAM   01-31-01     250756                                        0.00                                                                        AMORTIZATION
IAM   02-28-01     255389                                        0.00                                                                        AMORTIZATION
IAM   03-31-01     261704                                        0.00                                                                        AMORTIZATION
IAM   04-30-01     265221                                        0.00                                                                        AMORTIZATION
IAM   05-31-01     268142                                        0.00                                                                        AMORTIZATION
IAM   06-30-01     271871                                        0.00                                                                        AMORTIZATION
IAM   07-31-01     274432                                        0.00                                                                        AMORTIZATION
IAM   08-31-01     276967                                        0.00                                                                        AMORTIZATION
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                                                                   Market Street Trust Company
04-23-02                                                       PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 11
FC3.3                                                          BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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IAM   09-30-01     280085                                     0.00                                                                       AMORTIZATION
IAM   10-31-01     283258                                     0.00                                                                       AMORTIZATION
IAM   11-30-01     286189                                     0.00                                                                       AMORTIZATION
IAM   12-31-01     289416                                     0.00                                                                       AMORTIZATION
                             -------------             -----------  ------------ --------------- ------------ ------------ ------------
      TOTAL -                        0.000                    0.00          0.00            0.00         0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE            COST       PRICE     DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT1 CO.5D0108  City&Cnty Denver 5.5% 01/01/08  2,075,000.000 PAR      100.239    2,079,959.25     105.076 12-31-01    2,180,327.00      100,367 75

OFFIT1 CO.5D1205  Arapahoe CTY 6.50% 12/15/09
IAM   01-31-01     250767                                     0.00                                                                       AMORTIZATION
IAM   02-28-01     255390                                     0.00                                                                       AMORTIZATION
IAM   03-31-01     261705                                     0.00                                                                       AMORTIZATION
IAM   04-30-01     265222                                     0.00                                                                       AMORTIZATION
IAM   05-31-01     268143                                     0.00                                                                       AMORTIZATION
IAM   06-30-01     271872                                     0.00                                                                       AMORTIZATION
IAM   07-31-01     274433                                     0.00                                                                       AMORTIZATION
IAM   08-31-01     276968                                     0.00                                                                       AMORTIZATION
IAM   09-30-01     280086                                     0.00                                                                       AMORTIZATION
IAM   10-31-01     283259                                     0.00                                                                       AMORTIZATION
IAM   11-30-01     286190                                     0.00                                                                       AMORTIZATION
IAM   12-31-01     289417                                     0.00                                                                       AMORTIZATION
                             -------------             -----------  ------------ --------------- ------------ ------------ ------------
      TOTAL -                        0.000                    0.00          0.00            0.00         0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE            COST       PRICE     DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT1 CO.5D1209  Arapahoe CTY 5.60% 12/15/09     1,550,000.000 PAR      103.260    1,600,530.00     108.018 12-31-01    1,674,279.00       73,749.00

OFFIT1 CO.5D1212  Arapahoe Cty School 5.5% 12/12
IAM   01-31-01     250758                                     0.00                                                                       AMORTIZATION
IAM   02-28-01     255391                                     0.00                                                                       AMORTIZATION
IAM   03-31-01     261706                                     0.00                                                                       AMORTIZATION
IAM   04-30-01     265223                                     0.00                                                                       AMORTIZATION
IAM   05-31-01     268144                                     0.00                                                                       AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	06-30-01	271873			0.00						AMORTIZATION
IAM	07-31-01	274434			0.00						AMORTIZATION
IAM	08-31-01	276969			0.00						AMORTIZATION
IAM	09-30-01	280087			0.00						AMORTIZATION
IAM	10-31-01	283280			0.00						AMORTIZATION
IAM	11-30-01	286191			0.00						AMORTIZATION
IAM	12-31-01	289418			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 CO.5D1212 Arapahoe Cty School 5.5% 12/12	1,550,000.000	PAR	101.043	1,566,166.50	105.534	12-31-01	1,635,777.00	69,610.50

OFFIT1 CO.60606 Platte Rvr CO 6.000% 06/01/06

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250759			0.00						AMORTIZATION
IAM	02-28-01	255392			0.00						AMORTIZATION
SAL	03-05-01	256967	-1,000,000.000	104.455		1,044,550.00	-1,076,720.00	-32,170.00			PLATTE RIVER POWER AUTH COLO PWR REVREP 6% BB JUN 1 2006 DTD 11/1/92 HELD BY DTC
	TOTAL -		-1,000,000.000		0.00	1,044,550.00	-1,076,720.00	-32,170.00	0	0.00	

OFFIT1 FED.6F1007 Fed. Farm Banks 6.8% 10/12/07

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	01-02-01	250743	-2,000,000.000	100.127		2,002,540.00	-2,002,540.00	0.00			To correct investment ID
ICA	01-02-01	250742			0.00						ADJ BEG BAL-PUR
	TOTAL -		-2,000,000.000		0.00	2,002,540.00	-2,002,540.00	0.00	0	0.00	

OFFIT1 FL.4G1007 Jksnvile FL Sls Tx 4.9% 10/07

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 FL.4G1007 Jksnvile FL Sls Tx 4.9% 10/07	1,000,000.000	PAR	99.580	995,800.00	106.454	12-31-01	1,064,540.00	68,740.00

OFFIT1 FL.5C0604 FL Bd of Educ 5.4% 6/1/04

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250760			0.00						AMORTIZATION
IAM	02-28-01	255393			0.00						AMORTIZATION
IAM	03-31-01	261707			0.00						AMORTIZATION
IAM	04-30-01	265224			0.00						AMORTIZATION

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                                                                          Market Street Trust Company
04-23-02                                                              PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 33
FC3.3                                                                 BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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IAM   05-31-01     268145                                       0.00                                                                    AMORTIZATION
IAM   06-30-01     271874                                       0.00                                                                    AMORTIZATION
IAM   07-31-01     274435                                       0.00                                                                    AMORTIZATION
IAM   08-31-01     276970                                       0.00                                                                    AMORTIZATION
IAM   09-30-01     280088                                       0.00                                                                    AMORTIZATION
IAM   10-31-01     283261                                       0.00                                                                    AMORTIZATION
IAM   11-30-01     286192                                       0.00                                                                    AMORTIZATION
IAM   12-31-01     289419                                       0.00                                                                    AMORTIZATION
                               -------------            ------------  ------------ ------------ ------------  -----------  ------------
      TOTAL -                          0.000                    0.00          0.00         0.00         0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE         COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT1 FL.5C0604  FL Bd of Educ 5.4% 6/1/04       500,000.000 PAR      102.269   511,345.00    105.387 12-31-01     526,935.00       15,590.00

OFFIT1 FL.6C0407  Orlando FL Utiliti 6.3% 4/1/07
IAM   01-31-01     250761                                       0.00                                                                    AMORTIZATION
IAM   02-28-01     256394                                       0.00                                                                    AMORTIZATION
IAM   03-31-01     261708                                       0.00                                                                    AMORTIZATION
IAM   04-30-01     265225                                       0.00                                                                    AMORTIZATION
IAM   05-31-01     268146                                       0.00                                                                    AMORTIZATION
IAM   06-30-01     271876                                       0.00                                                                    AMORTIZATION
IAM   07-31-01     274436                                       0.00                                                                    AMORTIZATION
IAM   08-31-01     276971                                       0.00                                                                    AMORTIZATION
IAM   09-30-01     280089                                       0.00                                                                    AMORTIZATION
IAM   10-31-01     283262                                       0.00                                                                    AMORTIZATION
IAM   11-30-01     286193                                       0.00                                                                    AMORTIZATION
IAM   12-31-01     289420                                       0.00                                                                    AMORTIZATION
                               -------------            ------------  ------------ ------------ ------------  -----------  ------------
      TOTAL -                          0.000                    0.00          0.00         0.00         0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE         COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT1 FL.6C0407  Orlando FL Utiliti 6.3% 4/1/07  500,000.000 PAR      111.175   555,875.00    111.472 12-31-01     557,360.00        1,485.00

OFFIT1 GA.41106   State Genl Oblig 4% 11/01/06
PUR   11-01-01     284783      1,000,000.000   103.955  1,039,550.00                                            1,000,000  1,039,550.00  GA Genl Oblig 4% 11/01/06
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                                                                     Market Street Trust Company
04-23-02                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                            PAGE 34
FC3.3                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                             REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
----  -------- ----------    --------------- ---------  ------------ ------------- --------------- ------------ ----------  ------------  -----------
IAM   11-30-01     286194                                       0.00                                                                    AMORTIZATION
IAM   12-31-01     889421                                       0.00                                                                    AMORTIZATION
                             ---------------            ------------ ------------- --------------- ------------ ----------  ------------
      TOTAL -                  1,000,000.000            1,039,550.00          0.00            0.00         0.00  1,000,000  1,039,550.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT1 GA.41106  State Genl Oblig 4% 11/01/06  1,000,000.000 PAR     103.955  1,039,550.00   101.628 12-31-01  1,016,280.00      -23,270.00

OFFIT1 IL.5A0607  IL Regnl Trans 5.125% 6/1/07
IAM   01-31-01     250762                                       0.00                                                                    AMORTIZATION
IAM   02-28-01     255395                                       0.00                                                                    AMORTIZATION
IAM   03-31-01     261709                                       0.00                                                                    AMORTIZATION
IAM   04-30-01     265226                                       0.00                                                                    AMORTIZATION
IAM   05-31-01     268147                                       0.00                                                                    AMORTIZATION
IAM   06-30-01     271876                                       0.00                                                                    AMORTIZATION
IAM   07-31-01     274437                                       0.00                                                                    AMORTIZATION
IAM   08-31-01     276972                                       0.00                                                                    AMORTIZATION
IAM   09-30-01     280090                                       0.00                                                                    AMORTIZATION
IAM   10-31-01     283263                                       0.00                                                                    AMORTIZATION
IAM   11-30-01     286195                                       0.00                                                                    AMORTIZATION
IAM   12-31-01     289422                                       0.00                                                                    AMORTIZATION
                             ---------------            ------------ ------------- --------------- ------------ ----------  ------------
      TOTAL -                          0.000                    0.00          0.00            0.00         0.00          0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT1 IL.5A0607  IL Regnl Trans 5.125% 6/1/07 1,000,000.000 PAR     100.634  1,006,340.00   105.131 12-31-01  1,051,310.00       44,970.00

OFFIT1 IL.5B1011  Illinois Ref Tax 5.25% 10/1/11
PUR   11-27-01     286140      1,000,000.000   106.301  1,063,010.00                                                 1,000,000  1,062,010.00  Illinois Ref Tax 5.25% 10/1/11
IAM   12-31-01     289423                                       0.00                                                                    AMORTIZATION
                             ---------------            ------------ ------------- --------------- ------------ ----------  ------------
      TOTAL -                  1,000,000.000            1,063,010.00          0.00            0.00         0.00  1,000,000  1,063,010.00

OFFIT1 IL.5F0108  Chicago IL 5.8% 01/01/08
IAM   01-31-01     250763                                       0.00                                                                    AMORTIZATION
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                                                                              Market Street Trust Company
04-23-02                                                                  PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                                    REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY     COST BASIS  DESCRIPTION
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IAM   02-28-01     255396                                           0.00                                                                          AMORTIZATION
IAM   03-31-01     261710                                           0.00                                                                          AMORTIZATION
IAM   04-30-01     265227                                           0.00                                                                          AMORTIZATION
IAM   05-31-01     268148                                           0.00                                                                          AMORTIZATION
IAM   06-30-01     271877                                           0.00                                                                          AMORTIZATION
IAM   07-31-01     274438                                           0.00                                                                          AMORTIZATION
IAM   08-31-01     276973                                           0.00                                                                          AMORTIZATION
IAM   09-30-01     280091                                           0.00                                                                          AMORTIZATION
IAM   10-31-01     283264                                           0.00                                                                          AMORTIZATION
IAM   11-30-01     286196                                           0.00                                                                          AMORTIZATION
IAM   12-31-01     289424                                           0.00                                                                          AMORTIZATION
                               -------------------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                                0.000                      0.00           0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY COM        AVERAGE          COST     PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      OFFIT1 IL.5F0108  Chicago IL 5.6% 01/01/08          500,000.000 PAR       103.638    518,190.00   109.930  12-31-01      549,650.00       31,460.00

OFFIT1 IN.5F0702  Purdue U Stdt Fee 5.75% 7/1/02
SAL   03-30-01     261609       -1,000,000.000    102.740                  1,027,400.00   -1,061,560.00    -34,160.00                             Purdue Univ 5.75% 07/01/02
                               -------------------             -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                       -1,000,000.000                      0.00   1,027,400.00   -1,061,560.00    -34,160.00           0          0.00

OFFIT1 JPMSWEEP  J P Morgan Money Market Sweep
PUR   01-19-01     248992          419,416.000      1.000     419,416.00                                                            0          0.00  PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   01-19-01     248993         -350,000.000      1.000                    350,000.00     -350,000.00          0.00                                 PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   01-19-01     248994         -298,466.660      1.000                    298,466.66     -298,466.66          0.00                                 PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   01-19-01     248995           -1,900.800      1.000                      1,900.80       -1,900.80          0.00                                 PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR   01-23-01     249573              666.670      1.000         666.67                                                            0          0.00  Prime Money Market Sweep Fund
SAL   02-16-01     251748         -129,000.000      1.000                    129,000.00     -129,000.00          0.00                                 PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   02-16-01     251749          -31,972.930      1.000                     31,972.93      -31,972.93          0.00                                 PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   02-22-01     252214          -15,638.390      1.000                     15,638.39      -15,638.39          0.00                                 Prime Money Market Sweep Fund
PUR   02-28-01     252216           10,000.000      1.000      10,000.00                                                            0          0.00  Prime Money Market Sweep Fund
PUR   03-15-01     256968          197,150.540      1.000     197,150.54                                                            0          0.00  PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR   03-15-01     256969          697,343.660      1.000     697,343.66                                                            0          0.00  PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   03-15-01     256970         -243,460.320      1.000                    243,460.32     -243,460.32          0.00                                 PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL   04-03-01     262910         -697,343.660      1.000                    697,343.66     -697,343.66          0.00                                 Prime Money Market Sweep Fund
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	04-10-01	262909	735,311.660	1.000	735,311.66				0	0.00	Prime Money Market Sweep Fund
SAL	04-16-01	262911	-466,666.000	1.000		466,666.00	-466,666.00	0.00			Prime Money Market Sweep Fund
SAL	04-18-01	262912	-1,881.680	1.000		1,881.68	-1,881.68	0.00			Prime Money Market Sweep Fund
SAL	04-20-01	263785	-63,033.950	1.000		63,033.95	-63,033.95	0.00			Prime Money Market Sweep Fund
PUR	05-17-01	266156	1,014,230.000	1.000	1,014,230.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266157	20,000.000	1.000	20,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266158	279,501.680	1.000	279,501.68				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266159	1,059,300.000	1.000	1,059,300.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-17-01	266160	21.040	1.000	21.04				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-17-01	266161	-560.130	1.000		560.13	-560.13	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE [illegible] 4:30 PM EST)
SAL	06-18-01	267810	-2,053,192.410	1.000		2,053,192.41	-2,053,192.41	0.00			Prime Money Market Sweep Fund
PUR	05-21-01	267123	2,932,260.000	1.000	2,932,260.00				0	0.00	Prime Money Market Sweep Fund
SAL	05-23-01	267124	-89,390.170	1.000		89,390.17	-89,390.17	0.00			Prime Money Market Sweep Fund
SAL	05-23-01	267128	-31,393.990	1.000		31,393.99	-31,393.99	0.00			Prime Money Market Sweep Fund
SAL	06-19-01	269720	-94,058.150	1.000		94,058.15	-94,058.15	0.00			Prime Money Market Sweep Fund
SAL	06-27-01	270542	-4,593.750	1.000		4,593.75	-4,593.75	0.00			Prime MM Sweep Fund
PUR	07-12-01	272732	35,000.000	1.000	35,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	07-12-01	272733	1,333,200.000	1.000	1,333,200.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	07-12-01	272734	-1,976,597.500	1.000		1,976,597.50	-1,976,597.50	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	07-16-01	273055	20,000.000	1.000	20,000.00				0	0.00	Prime MM Sweep Fund
SAL	07-18-01	273056	-1,067,412.080	1.000		1,067,412.08	-1,067,412.08	0.00			Prime MM Sweep Fund
SAL	08-10-01	274662	-560,000.000	1.000		560,000.00	-560,000.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	08-10-01	274663	-27,165.090	1.000		27,165.09	-27,165.09	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	08-24-01	275923	25,000.000	1.000	25,000.00				0	0.00	Prime MM Sweep Fund
SAL	09-06-01	278215	-880,000.000	1.000		880,000.00	-880,000.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	09-25-01	278964	1,039,320.000	1.000	1,039,320.00				0	0.00	Prime MM Sweep Fund
SAL	09-26-01	278965	-375,375.090	1.000		375,375.09	-375,375.09	0.00			Prime MM Sweep Fund
PUR	10-15-01	281157	651,396.000	1.000	651,396.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281158	-1,329,020.000	1.000		1,329,020.00	-1,329,020.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-18-01	281673	-1,612.660	1.000		1,612.66	-1,612.66	0.00			Prime MM Sweep Fund
PUR	11-09-01	284167	200,999.000	1.000	200,999.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	11-09-01	284168	1,563,398.440	1.000	1,563,398.44				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-09-01	284169	-642,258.000	1.000		642,258.00	-642,258.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE [illegible] 4:3
SAL	11-19-01	284780	-20,613.920	1.000		20,613.92	-20,613.92	0.00			JPM Prime MM Sweep Fund
SAL	11-21-01	284782	-1,039,550.000	1.000		1,039,550.00	-1,039,550.00	0.00			JPM Prime MM Sweep Fund
PUR	11-26-01	285250	2,300,640.000	1.000	2,300,640.00				0	0.00	Prime MM Sweep Fund
PUR	12-11-01	287256	23,158.250	1.000	23,158.25				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3

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04-23-02                                                                   Market Street Trust Company                                                      PAGE 37
FC3.3                                                               PURCHASE / SALE DETAIL HISTORY REPORT
                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS      QUANTITY    COST BASIS  DESCRIPTION
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SAL   12-11-01     287257    -1,613,367.000      1.000                1,613,367.00   -1,613,367.00          0.00                            JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL   12-11-01     287258      -871,836.250      1.000                  871,836.25     -871,836.25          0.00                            JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE [illegible] 4:2
SAL   12-21-01     289200       -23,158.250      1.000                   23,158.25      -23,158.25          0.00                            Prime MM Sweep Fund
PUR   12-26-01     288199       371,024.250      1.000    371,024.25                                                     371,024    371,024.25  Prime MM Sweep Fund
                             --------------             ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                   -72,181.640            14,928,337.19 15,000,518.83  -15,000,518.83          0.00     371,024    371,024.25

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM      AVERAGE           COST     PRICE  DATE          MARKET VALUE  UNREALIZED G/L
      OPFIT1 JPMSWEEP   J P Morgan Money Market Sweep 382,598.970 UNTS    1.000     382,598.97     1.000  12-31-01        371,024.25      -11,574.72

OPFIT1 KS.51208   Kans Cty MO Wtr 5% 12/01/08
IAM   01-31-01     250764                                          0.00                                                                     AMORTIZATION
IAM   02-28-01     255397                                          0.00                                                                     AMORTIZATION
IAM   03-31-01     261711                                          0.00                                                                     AMORTIZATION
IAM   04-30-01     265228                                          0.00                                                                     AMORTIZATION
IAM   05-31-01     268149                                          0.00                                                                     AMORTIZATION
IAM   06-30-01     271878                                          0.00                                                                     AMORTIZATION
IAM   07-31-01     274439                                          0.00                                                                     AMORTIZATION
IAM   08-31-01     276974                                          0.00                                                                     AMORTIZATION
IAM   09-30-01     280092                                          0.00                                                                     AMORTIZATION
IAM   10-31-01     283265                                          0.00                                                                     AMORTIZATION
IAM   11-30-01     286197                                          0.00                                                                     AMORTIZATION
IAM   12-31-01     289425                                          0.00                                                                     AMORTIZATION
                             --------------             ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                         0.000                     0.00          0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE           COST     PRICE  DATE          MARKET VALUE  UNREALIZED G/L
      OPFIT1 KS.51208   Kans Cty MO Wtr 5% 12/01/08  1,000,000.000 PAR     100.729   1,007,290.00   105.115  12-31-01      1,051,150.00       43,860.00

OPFIT1 MA.5A1[illegible]6  MA Wtr Res 5.25% 12/1/06
IAM   01-31-01     250765                                          0.00                                                                     AMORTIZATION
IAM   02-28-01     255398                                          0.00                                                                     AMORTIZATION
IAM   03-31-01     261712                                          0.00                                                                     AMORTIZATION
IAM   04-30-01     265229                                          0.00                                                                     AMORTIZATION
IAM   05-31-01     268150                                          0.00                                                                     AMORTIZATION
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                                                              Market Street Trust Company
04-23-02                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                  PAGE 38
FC3.3                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
----  -------- ----------     ------------- ---------- ------------- ------------- --------------- ------------- ---------- ------------ ------------

IAM   06-30-01      271879                                      0.00                                                                 AMORTIZATION
IAM   07-31-01      274440                                      0.00                                                                 AMORTIZATION
IAM   08-31-01      276975                                      0.00                                                                 AMORTIZATION
IAM   09-30-01      280093                                      0.00                                                                 AMORTIZATION
IAM   10-31-01      283266                                      0.00                                                                 AMORTIZATION
IAM   11-30-01      286198                                      0.00                                                                 AMORTIZATION
IAM   12-31-01      289426                                      0.00                                                                 AMORTIZATION
                              -------------            ------------- ------------- --------------- ------------- ---------- ------------
      TOTAL -                         0.000                     0.00          0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE          COST      PRICE    DATE       MARKET VALUE UNREALIZED G/L
      OFFIT1 MA.5A1206  MA Wtr Res 5.25% 12/1/06  1,000,000.000 PAR      100.631  1,006,310.00    107.095 12-31-01   1,070,950.00      64,640.00

OFFIT1 MA.5D1107  Comm of MA 5.5% 11/01/07
IAM   01-31-01      250766                                      0.00                                                                 AMORTIZATION
IAM   02-28-01      255399                                      0.00                                                                 AMORTIZATION
IAM   03-31-01      261713                                      0.00                                                                 AMORTIZATION
IAM   04-30-01      265230                                      0.00                                                                 AMORTIZATION
IAM   05-31-01      268151                                      0.00                                                                 AMORTIZATION
IAM   06-30-01      271880                                      0.00                                                                 AMORTIZATION
IAM   07-31-01      274441                                      0.00                                                                 AMORTIZATION
IAM   08-31-01      276976                                      0.00                                                                 AMORTIZATION
IAM   09-30-01      280094                                      0.00                                                                 AMORTIZATION
IAM   10-31-01      283267                                      0.00                                                                 AMORTIZATION
IAM   11-30-01      286199                                      0.00                                                                 AMORTIZATION
IAM   12-31-01      289427                                      0.00                                                                 AMORTIZATION
                              -------------            ------------- ------------- --------------- ------------- ---------- ------------
      TOTAL -                         0.000                     0.00          0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE          COST      PRICE    DATE       MARKET VALUE UNREALIZED G/L
      OFFIT1 MA.5D1107  Comm of MA 5.5% 11/01/07  1,000,000.000 PAR      102.415  1,024,150.00    107.918 12-31-01   1,079,180.00      55,030.00

OFFIT1 MA.5F0705  Nantucket MASS 5.75% 07/15/05
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04-23-02                                                                           Market Street Trust Company
FC3.3                                                                        PURCHASE / SALE DETAIL HISTORY REPORT
                                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION-..                                                                               REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY        PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY     COST BASIS DESCRIPTION
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        CURRENT HOLDINGS -
        ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE            COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
        OFFIT1 MA.5F0705  Nantucket MASS 5.75% 07/15/05          500,000.000 PAR       107.589      537,945.00    107.962  12-31-01      539,810.00        1,865.00

OFFIT1 MA.6B0705  Boston MA Genl Pur 6.25% 7/05
IAM   01-31-01       250767                                             0.00                                                                              AMORTIZATION
IAM   02-28-01       255400                                             0.00                                                                              AMORTIZATION
SAL   03-29-01       261494     -1,000,000.000    105.565                      1,055,650.00   -1,076,220.00    -20,570.00                                 City of Boston 6.25% 07/01/05
                               ----------------            -------------- ------------- --------------- -------------  ------------ --------------
       TOTAL -                  -1,000,000.000                           0.00  1,055,650.00   -1,076,220.00    -20,570.00             0           0.00

OFFIT1 MI.5B0506  MI-Traverse Cty Sch 5.25% 5/06
       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                              QUANTITY UOM       AVERAGE            COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
       OFFIT1 MI.5B0506  MI-Traverse Cty Sch 5.25% 5/06        1,200,000.000 PAR        99.750    1,197,000.00    107.247  12-31-01    1,286,964.00       89,964.00

OFFIT1 MN.5C0206  Minnesota Hsg 5.35% 2/1/06
SAL   02-28-01       252212        -10,000.000    100.000                         10,000.00      -10,000.00          0.00                                 Minn. Housing FA 5.35% 2/1/06
SAL   06-29-01       271789        -20,000.000    100.000                         20,000.00      -20,000.00          0.00                                 Minn. HFA HSG 5.35% 02/01/06
SAL   08-24-01       275922        -25,000.000    100.000                         25,000.00      -25,000.00          0.00                                 Minn. HFA Rental 5.35% 2/1/06
SAL   12-31-01       289368        -10,000.000    100.000                         10,000.00      -10,000.00          0.00                                 Minn. HFA HSG 5.35% 02/01/06
                               ----------------            -------------- ------------- --------------- -------------  ------------ --------------
       TOTAL -                     -65,000.000                           0.00     65,000.00      -65,000.00          0.00             0           0.00

       CURRENT HOLDINGS -
       ENTITY INVESTMENT DESCRIPTION                              QUANTITY UOM       AVERAGE            COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
       OFFIT1 MN.5C0206  Minnesota Hsg 5.35% 2/1/06              550,000.000 PAR       100.000      550,000.00    104.453  12-31-01      574,491.50       24,491.50

OFFIT1 NC.5B0308  NC School 5.10% 3/1/08
IAM   01-31-01       250768                                             0.00                                                                              AMORTIZATION
IAM   02-28-01       255401                                             0.00                                                                              AMORTIZATION
IAM   03-31-01       261714                                             0.00                                                                              AMORTIZATION
IAM   04-30-01       265231                                             0.00                                                                              AMORTIZATION
IAM   05-31-01       268152                                             0.00                                                                              AMORTIZATION
IAM   06-30-01       271881                                             0.00                                                                              AMORTIZATION
IAM   07-31-01       274442                                             0.00                                                                              AMORTIZATION
IAM   08-31-01       276977                                             0.00                                                                              AMORTIZATION
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ENTITY INVESTMENT DESCRIPTION ..

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	09-30-01	280095			0.00						AMORTIZATION
IAM	10-31-01	283268			0.00						AMORTIZATION
IAM	11-30-01	286200			0.00						AMORTIZATION
IAM	12-31-01	289428			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 NC.5B0308 NC School 5.10% 3/1/08	1,000,000.000	PAR	100.582	1,005,820.00	104.977	12-31-01	1,049,770.00	43,950.00

OFFIT1 NE.5F0105 Neb Pbl Pwr 5.700% 01/01/05											
SAL	01-03-01	248989	-400,000.000	104.854		419,416.00	-421,672.00	-2,256.00			NEBRASKA PUBLIC POWER DISTRICT REV 5.70% JAN 1 2005 DTD 1/1/93 MBIAC INSURED PRE
IAM	01-31-01	250769			0.00						AMORTIZATION
IAM	02-28-01	255402			0.00						AMORTIZATION
SAL	03-30-01	261608	-500,000.000	105.526		527,630.00	-527,090.00	540.00			Neb Pub Pwr 5.7% 01/01/05
	TOTAL -		-900,000.000		0.00	947,046.00	-948,762.00	-1,716.00	0	0.00	
OFFIT1 NJ.4B0905 W Wndsr NJ Sch 4.625% 9/15/05											
IAM	01-31-01	250770			0.00						AMORTIZATION
IAM	02-28-01	255403			0.00						AMORTIZATION
SAL	03-30-01	261606	-1,300,000.000	103.913		1,350,869.00	-1,351,428.00	-559.00			West Windsor NJ 4.625 9/15/05
	TOTAL -		-1,300,000.000		0.00	1,350,869.00	-1,351,428.00	-559.00	0	0.00	
OFFIT1 NJ.5C0203 NJ RFDG 5.40% 02/15/03											
IAM	01-31-01	250771			0.00						AMORTIZATION
IAM	02-28-01	255404			0.00						AMORTIZATION
IAM	03-31-01	261718			0.00						AMORTIZATION
IAM	04-30-01	265232			0.00						AMORTIZATION
IAM	05-31-01	268153			0.00						AMORTIZATION
IAM	06-30-01	271882			0.00						AMORTIZATION
IAM	07-31-01	274443			0.00						AMORTIZATION
IAM	08-31-01	276978			0.00						AMORTIZATION
SAL	09-20-01	278966	-1,000,000.000	103.932		1,039,320.00	-1,003,350.00	35,970.00			New Jersey RFDG 5.4% 02/15/03

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                                                                   Market Street Trust Company
04-23-02                                                        PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                          BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                              REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -               -1,000,000.000                      0.00  1,039,320.00   -1,003,350.00     35,970.00           0         0.00

OFFIT1 NJ.5F0808  Midltn Twnsp NJ 5.70% 08/01/08
IAM   01-31-01    250772                                        0.00                                                                        AMORTIZATION
IAM   02-28-01    255405                                        0.00                                                                        AMORTIZATION
IAM   03-31-01    261716                                        0.00                                                                        AMORTIZATION
IAM   04-30-01    265233                                        0.00                                                                        AMORTIZATION
IAM   05-31-01    268154                                        0.00                                                                        AMORTIZATION
IAM   06-30-01    271883                                        0.00                                                                        AMORTIZATION
IAM   07-31-01    274444                                        0.00                                                                        AMORTIZATION
IAM   08-31-01    276979                                        0.00                                                                        AMORTIZATION
IAM   09-30-01    280096                                        0.00                                                                        AMORTIZATION
IAM   10-31-01    283269                                        0.00                                                                        AMORTIZATION
IAM   11-30-01    286201                                        0.00                                                                        AMORTIZATION
IAM   12-31-01    289429                                        0.00                                                                        AMORTIZATION
                            ----------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                        0.000                      0.00          0.00            0.00          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT1 NJ.5F0808  Midltn Twnsp NJ 5.70% 08/01/08  1,000,000.000 PAR  102.082   1,020,820.00   108.885 12-31-01   1,088,850.00      68,030.00

OFFIT1 NV.5D0605  Clark County 5.5% 06/01/05
PUR   11-06-01    284175       600,000.000    107.043     642,268.00                                                   600,000    642,258.00  Clark County 5.5% 06/01/05
IAM   11-30-01    286202                                        0.00                                                                        AMORTIZATION
IAM   12-31-01    289430                                        0.00                                                                        AMORTIZATION
                            ----------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                  600,000.000                642,268.00          0.00            0.00          0.00     600,000   642,258.00

OFFIT1 NV.60705   NV Colo River 6% 07/01/05
IAM   01-31-01    250773                                        0.00                                                                        AMORTIZATION
IAM   02-28-01    255406                                        0.00                                                                        AMORTIZATION
IAM   03-31-01    261717                                        0.00                                                                        AMORTIZATION
IAM   04-30-01    265234                                        0.00                                                                        AMORTIZATION
IAM   05-31-01    268155                                        0.00                                                                        AMORTIZATION
IAM   06-30-01    271884                                        0.00                                                                        AMORTIZATION
IAM   07-31-01    274445                                        0.00                                                                        AMORTIZATION
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                                                                              Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                                    PAGE 43
FC3.3                                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY   COST BASIS  DESCRIPTION
----  -------- ----------     -------------- ----------- ------------- ------------- --------------- ------------- ------------ ------------ -----------
IAM   08-31-01     276980                                        0.00                                                                          AMORTIZATION
IAM   09-30-01     280097                                        0.00                                                                          AMORTIZATION
IAM   10-31-01     283270                                        0.00                                                                          AMORTIZATION
IAM   11-30-01     286203                                        0.00                                                                          AMORTIZATION
IAM   12-31-01     289431                                        0.00                                                                          AMORTIZATION
                              --------------             ------------- ------------- --------------- ------------- ------------ ------------
      TOTAL -                          0.000                     0.00          0.00            0.00          0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT1 NV.60705   NV Colo River 6% 07/01/05      685,000.000 PAR       106.968    735,880.80    106.956  12-31-01     732,648.60        6,767.80

OFFIT1 OH.500226  Ohio Turnpike 5.5% 02/15/26
IAM   01-31-01     250774                                        0.00                                                                          AMORTIZATION
IAM   02-28-01     256407                                        0.00                                                                          AMORTIZATION
IAM   03-31-01     261718                                        0.00                                                                          AMORTIZATION
IAM   04-30-01     265236                                        0.00                                                                          AMORTIZATION
IAM   05-31-01     268156                                        0.00                                                                          AMORTIZATION
IAM   06-30-01     271886                                        0.00                                                                          AMORTIZATION
IAM   07-31-01     274446                                        0.00                                                                          AMORTIZATION
IAM   08-31-01     276981                                        0.00                                                                          AMORTIZATION
IAM   09-30-01     280098                                        0.00                                                                          AMORTIZATION
IAM   10-31-01     283271                                        0.00                                                                          AMORTIZATION
IAM   11-30-01     286204                                        0.00                                                                          AMORTIZATION
IAM   12-31-01     289432                                        0.00                                                                          AMORTIZATION
                              --------------             ------------- ------------- --------------- ------------- ------------ ------------
      TOTAL -                          0.000                     0.00          0.00            0.00          0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT1 OH.5D0226  Ohio Turnpike 6.6% 02/15/26  1,000,000.000 PAR       103.698  1,036,980.00    109.250  12-31-01   1,092,500.00       55,520.00

OFFIT1 PA.50310   Comm of PA Genl Pur 5% 03/01/1
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT1 PA.50310   Comm of PA Genl Pur 5% 03/01/1 2,000,000.000 PAR     100.000  2,000,000.00    103.621  12-31-01   2,072,420.00       72,420.00
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ENTITY INVESTMENT DESCRIPTION...

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OFFIT1 PA.6D1104 Con. of PA 6.5% 11/01/04											
IAM	01-31-01	250775			0.00						AMORTIZATION
IAM	01-31-01	250776			0.00						AMORTIZATION
IAM	02-28-01	255408			0.00						AMORTIZATION
IAM	02-28-01	255409			0.00						AMORTIZATION
SAL	03-30-01	261491	-1,000,000.000	103.340		1,033,400.00	-1,073,064.00	-39,664.00			Comm of PA 6.5% 11/01/04
TOTAL -			-1,000,000.000		0.00	1,033,400.00	-1,073,064.00	-39,664.00	0	0.00	
OFFIT1 TN.5D0408 Shelby Cty Schl 5.5% 04/01/08											
IAM	01-31-01	250777			0.00						AMORTIZATION
IAM	02-28-01	255410			0.00						AMORTIZATION
IAM	03-31-01	261719			0.00						AMORTIZATION
IAM	04-30-01	265236			0.00						AMORTIZATION
IAM	05-31-01	268157			0.00						AMORTIZATION
IAM	06-30-01	271086			0.00						AMORTIZATION
IAM	07-31-01	274447			0.00						AMORTIZATION
IAM	08-31-01	276982			0.00						AMORTIZATION
IAM	09-30-01	280099			0.00						AMORTIZATION
IAM	10-31-01	283272			0.00						AMORTIZATION
IAM	11-30-01	286205			0.00						AMORTIZATION
IAM	12-31-01	289433			0.00						AMORTIZATION
TOTAL -			0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 TN.5D0408 Shelby Cty Schl 5.5% 04/01/08	3,000,000.000	PAR	104.797	3,143,910.00	107.338	12-31-01	3,220,140.00	76,230.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OFFIT1 TX.4D0210 TX Schl Bldg 4.65% 02-15-10											
SAL	04-09-01	262913	-1,175,000.000	100.900		1,185,575.00	-1,175,000.00	10,575.00			Texas Schl Bldg 4.55% 02/15/10
TOTAL -			-1,175,000.000		0.00	1,185,575.00	-1,175,000.00	10,575.00	0	0.00	
OFFIT1 TX.4D1005 Harris Ct TX 4.5% 10/01/05											
IAM	01-31-01	250778			0.00						AMORTIZATION
IAM	02-28-01	285411			0.00						AMORTIZATION

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                                                                   Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                        PAGE 44
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                         REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
---- -------- ----------   ---------------- ---------- ------------ ------------- --------------- -------------  ----------  ------------ -----------
IAM  03-31-01     261720                                       0.00                                                                     AMORTIZATION
IAM  04-30-01     265237                                       0.00                                                                     AMORTIZATION
IAM  05-31-01     268158                                       0.00                                                                     AMORTIZATION
IAM  06-30-01     271687                                       0.00                                                                     AMORTIZATION
IAM  07-31-01     274448                                       0.00                                                                     AMORTIZATION
IAM  08-31-01     276983                                       0.00                                                                     AMORTIZATION
IAM  09-30-01     280100                                       0.00                                                                     AMORTIZATION
IAM  10-31-01     283273                                       0.00                                                                     AMORTIZATION
IAM  11-30-01     286206                                       0.00                                                                     AMORTIZATION
IAM  12-31-01     289434                                       0.00                                                                     AMORTIZATION
                               ----------------            ------------ ------------- --------------- -------------  ----------  ------------
     TOTAL -                              0.000                    0.00          0.00            0.00          0.00           0          0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     OFFIT1 TX.4D1005  Harris Ct TX 4.5% 10/01/05      1,075,000.000 PAR      102.915   1,106,336.25   103.687 12-31-01    1,114,635.25        8,299.00

OFFIT1 TX.50207  Clear Crk TX 5% 02/15/07
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     OFFIT1 TX.50207  Clear Crk TX 5% 02/15/07        1,000,000.000 PAR      103.559   1,035,590.00   104.454 12-31-01    1,044,540.00        8,950.00

OFFIT1 TX.51007   TX Public Fin 5% 10/1/07
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     OFFIT1 TX.51007   TX Public Fin 5% 10/1/07         500,000.000 PAR       99.479     497,395.00   104.105 12-31-01      520,525.00       23,130.00

OFFIT1 TX.5A0209  Lamarr TX SD 5.1% 02/15/09
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     OFFIT1 TX.5A0209  Lamarr TX SD 5.1% 02/15/09      1,000,000.000 PAR      100.000   1,000,000.00   104.168 12-31-01    1,041,680.00       41,680.00

OFFIT1 TX.5B0909  Austin Pub. Imp. 5.25% 9/1/09
PUR  06-14-01     271777      1,000,000.000    106.589 1,065,890.00                                                  1,000,000  1,065,890.00 Austin Pub. Imp 5.25% 09/01/09
IAM  07-31-01     274449                                       0.00                                                                     AMORTIZATION
IAM  08-31-01     276984                                       0.00                                                                     AMORTIZATION
IAM  09-30-01     280101                                       0.00                                                                     AMORTIZATION
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ENTITY INVESTMENT DESCRIPTION..                                                                                        REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS      QUANTITY   COST BASIS  DESCRIPTION
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IAM   10-31-01     283274                                        0.00                                                                        AMORTIZATION
IAM   11-30-01     286207                                        0.00                                                                        AMORTIZATION
IAM   12-31-01     289435                                        0.00                                                                        AMORTIZATION
                            ---------------            --------------  -------------- --------------- -------------  ------------ ------------
      TOTAL -                 1,000,000.000              1,065,890.00            0.00            0.00          0.00     1,000,000 1,065,890.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      OFFIT1 TX.5B0909  Austin Pub. Imp. 5.25% 9/1/09       1,000,000.000 PAR       106.689   1,065,890.00    105.278  12-31-01    1,052,780.00      -13,110.00

OFFIT1 TX.5B9109  Austin CFTS Obli 5.25% 09/1/09
PUR   12-19-01     288198     1,000,000.000    104.693   1,046,930.00                                                 1,000,000 1,046,930.00  Austin CFTS Obli 5.25% 09/1/09
IAM   12-31-01     289436                                        0.00                                                                        AMORTIZATION
                            ---------------            --------------  -------------- --------------- -------------  ------------ ------------
      TOTAL -                 1,000,000.000              1,046,930.00            0.00            0.00          0.00     1,000,000 1,046,930.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      OFFIT1 TX.5B9109  Austin CPTS Obli 5.25% 09/1/09      1,000,000.000 PAR       104.693   1,046,930.00    105.278  12-31-01    1,052,780.00        5,850.00

OFFIT1 TX.5C0807  Austin TX Sch 5.375% 08/01/07
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      OFFIT1 TX.5C0807  Austin TX Sch 5.375% 08/01/07         725,000.000 PAR        99.383     720,526.75    107.379  12-31-01      778,497.75       57,971.00

OFFIT1 TX.5C0807Y Austin TX Schl 5.375% 08/01/07
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM       AVERAGE           COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      OFFIT1 TX.5C0807Y Austin TX Schl 5.375% 08/01/07        275,000.000 PAR        99.383     273,303.25    105.611  12-31-01      290,430.25       17,127.00

OFFIT1 TX.60907   AustinTX Pub Imp Lt 6% 9/1/07
IAM   01-31-01     250779                                        0.00                                                                        AMORTIZATION
IAM   02-28-01     255412                                        0.00                                                                        AMORTIZATION
IAM   03-31-01     261721                                        0.00                                                                        AMORTIZATION
IAM   04-30-01     265238                                        0.00                                                                        AMORTIZATION
IAM   05-31-01     268159                                        0.00                                                                        AMORTIZATION
IAM   06-30-01     271888                                        0.00                                                                        AMORTIZATION
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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	07-31-01	274450			0.00						AMORTIZATION
IAM	08-31-01	276988			0.00						AMORTIZATION
IAM	09-30-01	280102			0.00						AMORTIZATION
IAM	10-31-01	283275			0.00						AMORTIZATION
IAM	11-30-01	286208			0.00						AMORTIZATION
IAM	12-31-01	289437			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 TX.60907 AustinTX Pub Imp Lt 6% 9/1/07	1,055,000.000	PAR	107.172	1,130,664.60	109.642	12-31-01	1,156,723.10	26,058.50

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OFFIT1 TX.61205 Dallas TX Ltd Tax 6% 02/15/05											
SAL	03-29-01	261492	-410,000.000	101.944		417,970.40	-431,992.40	-14,022.00			City of Dallas 6% 02/15/05
	TOTAL -		-410,000.000		0.00	417,970.40	-431,992.40	-14,022.00	0	0.00	
OFFIT1 US.5A0306 Federal Home Ln Bk 5.125% 3/06											
PUR	05-16-01	267811	1,500,000.000	98.465	1,476,972.00				0	0.00	Federal Home Ln Bk 5.125 03/06
PUR	07-11-01	272738	1,000,000.000	98.969	989,687.50				0	0.00	Fed Home Ln Bk 5.125% 03/03/06
SAL	10-29-01	283212	-1,500,000.000	104.227		1,563,398.44	-1,476,972.00	86,426.44			Fed. Home Ln Bk 5.125% 3/6/06
SAL	11-01-01	284174	-1,000,000.000	105.336		1,053,359.00	-989,687.50	63,671.50			Fed Home Ln Bk 5.125% 3/6/06
	TOTAL -		0.000		2,466,659.50	2,616,757.44	-2,466,659.50	150,097.94	0	0.00	
OFFIT1 US.5F0211 Fed Home Ln Bk 5.875% 2/15/11											
PUR	07-11-01	272737	1,000,000.000	98.691	986,910.00				0	0.00	Fed Home Ln Bk 5.875% 02/15/11
SAL	10-01-01	281155	-1,000,000.000	103.598		1,035,980.00	-986,910.00	49,070.00			FEDERAL HOME LOAN BANK CONS SER FB11 5 7/8% FEB 15 2011 DTD 2/14/2001 @ 103.598
	TOTAL -		0.000		986,910.00	1,035,980.00	-986,910.00	49,070.00	0	0.00	
OFFIT1 US.6C0806 Federal Home Ln Bk 6.375% 8/06											
SAL	10-01-01	281156	-600,000.000	108.566		651,396.00	-588,246.00	63,150.00			FEDERAL HOME LOAN BANK CONS 6 3/8% AUG 15 2006 DTD 7/16/99 @ 108.566 J P MORGAN
	TOTAL -		-600,000.000		0.00	651,396.00	-588,246.00	63,150.00	0	0.00	

04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
OFFIT1	US.6H1007	Fed Farm Banks 6.8% 10/12/07									
PUR	01-02-01	250745	2,000,000.000	100.127	2,002,540.00				600,000	500,635.00	To correct investment ID
IAM	01-31-01	250780			0.00						AMORTIZATION
IAM	02-28-01	255413			0.00						AMORTIZATION
IAM	03-31-01	261722			0.00						AMORTIZATION
IAM	04-30-01	265235			0.00						AMORTIZATION
IAM	05-31-01	268160			0.00						AMORTIZATION
IAM	06-30-01	271889			0.00						AMORTIZATION
IAM	07-31-01	274451			0.00						AMORTIZATION
IAM	08-31-01	276986			0.00						AMORTIZATION
IAM	09-30-01	280103			0.00						AMORTIZATION
IAM	10-31-01	283276			0.00						AMORTIZATION
IAM	11-30-01	286209			0.00						AMORTIZATION
SAL	12-10-01	287261	-200,000.000	107.166		214,332.00	-200,254.00	14,078.00			Federal Farm Credit Banks Cons
SAL	12-18-01	288201	-1,300,000.000	107.292		1,394,796.00	-1,301,651.00	93,145.00			Fed. Farm Credit 6.8% 10-12-07
IAM	12-31-01	289438			0.00						AMORTIZATION
	TOTAL -		500,000.000		2,002,540.00	1,609,128.00	-1,501,905.00	107,223.00	500,000	500,635.00	
OFFIT1	US.780207	Federal Home Ln Bk 7.25% 02/07									
IAM	01-31-01	250781			0.00						AMORTIZATION
IAM	02-28-01	255414			0.00						AMORTIZATION
IAM	03-31-01	261723			0.00						AMORTIZATION
IAM	04-30-01	265240			0.00						AMORTIZATION
IAM	05-31-01	268161			0.00						AMORTIZATION
IAM	06-30-01	271890			0.00						AMORTIZATION
IAM	07-31-01	274452			0.00						AMORTIZATION
IAM	08-31-01	276987			0.00						AMORTIZATION
IAM	09-30-01	280104			0.00						AMORTIZATION
IAM	10-31-01	283277			0.00						AMORTIZATION
SAL	11-01-01	284166	-1,000,000.000	114.764		1,147,640.00	-1,010,560.00	137,080.00			FEDERAL HOME LOAN BANK CONS 7 1/4% FEB 15 2007 DTD 2/16/2000 @ 114.764 SPEAR LEE
	TOTAL -		-1,000,000.000		0.00	1,147,640.00	-1,010,560.00	137,080.00	0	0.00	
OFFIT1	US.780510	Fed. Home Ln Bk 7.625% 5/14/10									
IAM	01-31-01	250782			0.00						AMORTIZATION
IAM	02-28-01	255415			0.00						AMORTIZATION

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	03-31-01	261724			0.00						AMORTIZATION
IAM	04-30-01	265241			0.00						AMORTIZATION
IAM	05-31-01	268162			0.00						AMORTIZATION
IAM	06-30-01	271891			0.00						AMORTIZATION
IAM	07-31-01	274453			0.00						AMORTIZATION
IAM	08-31-01	276988			0.00						AMORTIZATION
IAM	09-30-01	280105			0.00						AMORTIZATION
IAM	10-31-01	283278			0.00						AMORTIZATION
SAL	11-19-01	285251	-2,000,000.000	115.032		2,300,640.00	-2,136,120.00	164,520.00			Fed. Home Ln Bk 7.625 5/14/10
	TOTAL -		-2,000,000.000		0.00	2,300,640.00	-2,136,120.00	164,520.00	0	0.00	
OFFIT1 WA.51205	King Cty Schl Wsh Lke 5% 12-05										
IAM	01-31-01	250783			0.00						AMORTIZATION
IAM	02-28-01	255416			0.00						AMORTIZATION
IAM	03-31-01	261725			0.00						AMORTIZATION
IAM	04-30-01	265242			0.00						AMORTIZATION
IAM	05-31-01	268163			0.00						AMORTIZATION
IAM	06-30-01	271892			0.00						AMORTIZATION
IAM	07-31-01	274454			0.00						AMORTIZATION
IAM	08-31-01	276989			0.00						AMORTIZATION
IAM	09-30-01	280106			0.00						AMORTIZATION
IAM	10-31-01	283279			0.00						AMORTIZATION
IAM	11-30-01	286210			0.00						AMORTIZATION
IAM	12-31-01	289439			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 WA.51205 King Cty Schl Wsh Lke 5% 12-05	500,000.000 PAR	100.788	503,940.00	105.242	12-31-01	526,210.00	22,270.00

OFFIT1 WA.5A0107 Grant Cty Pub Util 5.125 1/07

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT1 WA.5A0107 Grant Cty Pub Util 5.125 1/07	500,000.000 PAR	99.359	496,795.00	106.798	12-31-01	533,990.00	37,195.00

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                                                          Market Street Trust Company
04-23-02                                                PURCHASE / SALE DETAIL HISTORY REPORT
FC3.1                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                             REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION--
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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OFFIT1 WI.50506   WI Genl Oblig 5% 05/01/06
IAM   01-31-01    250784                                  0.00                                                                      AMORTIZATION
IAM   02-28-01    255417                                  0.00                                                                      AMORTIZATION
SAL   03-30-01    261607    -510,000.000    105.151                  536,270.10     -540,579.60     -4,309.50                       Wisc. Gen Obl 5% 05/01/06
IAM   03-31-01    261726                                  0.00                                                                      AMORTIZATION
IAM   04-30-01    265243                                  0.00                                                                      AMORTIZATION
IAM   05-31-01    268164                                  0.00                                                                      AMORTIZATION
IAM   06-30-01    271893                                  0.00                                                                      AMORTIZATION
IAM   07-31-01    274455                                  0.00                                                                      AMORTIZATION
IAM   08-31-01    276990                                  0.00                                                                      AMORTIZATION
IAM   09-30-01    280107                                  0.00                                                                      AMORTIZATION
IAM   10-31-01    283280                                  0.00                                                                      AMORTIZATION
IAM   11-30-01    286211                                  0.00                                                                      AMORTIZATION
IAM   12-31-01    289440                                  0.00                                                                      AMORTIZATION
                           -------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -               -510,000.000                  0.00   536,270.10     -540,579.60     -4,309.50            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                QUANTITY UOM      AVERAGE           COST      PRICE     DATE    MARKET VALUE  UNREALIZED G/L
      OFFIT1 WI.50506   WI Genl Oblig 5% 05/01/06  1,000,000.000 PAR  105.996   1,059,960.00    105.063  12-31-01   1,050,630.00       -9,330.00

OFFIT1 WI.5C0509  WI AMT 5.40% 05/01/09
IAM   01-31-01    250785                                  0.00                                                                      AMORTIZATION
IAM   02-28-01    255418                                  0.00                                                                      AMORTIZATION
IAM   03-31-01    261727                                  0.00                                                                      AMORTIZATION
IAM   04-30-01    265244                                  0.00                                                                      AMORTIZATION
IAM   05-31-01    268165                                  0.00                                                                      AMORTIZATION
IAM   06-30-01    271894                                  0.00                                                                      AMORTIZATION
IAM   07-31-01    274456                                  0.00                                                                      AMORTIZATION
IAM   08-31-01    276991                                  0.00                                                                      AMORTIZATION
IAM   09-30-01    280108                                  0.00                                                                      AMORTIZATION
IAM   10-31-01    283281                                  0.00                                                                      AMORTIZATION
IAM   11-30-01    286212                                  0.00                                                                      AMORTIZATION
IAM   12-31-01    289441                                  0.00                                                                      AMORTIZATION
                           -------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                      0.000                  0.00         0.00            0.00          0.00            0         0.00
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                                                                           Market Street Trust Company
04-23-02                                                               PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 50
FC3.3                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                                 REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY     COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE           COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OPFIT1 WI.5C0509  WI AMT 5.40% 05/01/09            370,000.000 PAR     104.529     386,757.30     103.513 12-31-01     382,998.10        -3,759.20

SAW1  AZ.5B0106  Salt River Agri. 5.25% 01/1/06
PUR   12-03-01       287710      1,000,000.000    106.160  1,061,600.00                                                  1,000,000  1,061,600.00  Salt River Agri. 5.25% 01/1/06
IAM   12-31-01       289442                                        0.00                                                                           AMORTIZATION
                             ---------------             ------------  ------------  --------------  ------------  ------------  ------------
      TOTAL -                    1,000,000.000             1,061,600.00          0.00            0.00          0.00     1,000,000  1,061,600.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE           COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   AZ.5B0106  Salt River Agri. 5.25% 01/1/06   1,000,000.000 PAR     106.160   1,061,600.00     105.931 12-31-01   1,059,310.00        -2,290.00

SAW1  AZ.5E0805  Yuma  AZ Ind Dev 5.6% 08/01/05
IAM   01-31-01       250669                                        0.00                                                                           AMORTIZATION
IAM   02-28-01       255419                                        0.00                                                                           AMORTIZATION
SAL   03-29-01       259251     -1,075,000.000    106.652                1,146,509.00   -1,092,640.75     53,868.25                               Yuma AZ Med Ctr 5.6% 08/01/05
                             ---------------             ------------  ------------  --------------  ------------  ------------  ------------
      TOTAL -                   -1,075,000.000                     0.00  1,146,509.00   -1,092,640.75     53,868.25             0          0.00

SAW1  CA.50706   Sierra View CA Hlth 5% 7/1/06
IAM   01-31-01       250670                                        0.00                                                                           AMORTIZATION
IAM   02-28-01       255420                                        0.00                                                                           AMORTIZATION
IAM   03-31-01       261728                                        0.00                                                                           AMORTIZATION
SAL   04-03-01       262937     -1,000,000.000    101.047                1,010,470.00   -1,019,760.00     -9,290.00                               Sierra View 5% 07/01/06
                             ---------------             ------------  ------------  --------------  ------------  ------------  ------------
      TOTAL -                   -1,000,000.000                     0.00  1,010,470.00   -1,019,760.00     -9,290.00             0          0.00

SAW1  CA.5A0208  Sanger CA USD 5.25% 02/01/08
SAL   01-22-01       249582       -600,000.000    109.500                  657,000.00     -638,328.00     18,672.00                               Sanger Union Schl 5.25% 02/08
                             ---------------             ------------  ------------  --------------  ------------  ------------  ------------
      TOTAL -                     -600,000.000                     0.00    657,000.00     -638,328.00     18,672.00             0          0.00

SAW1  CA.5E1010  CA Construct tax 5.75% 10/1/10
IAM   01-31-01       250671                                        0.00                                                                           AMORTIZATION
IAM   02-28-01       255421                                        0.00                                                                           AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	03-01-01	256977	-1,105,000.000	112.150		1,239,257.50	-1,208,980.50	30,277.00			STATE OF CALIFORNIA CONSTR & REF UNLIMITED TAX 5 3/4% OCT 1 2010 DTD 10/1/2000 E
	TOTAL -		-1,105,000.000		0.00	1,239,257.50	-1,208,980.50	30,277.00	0	0.00	
SAM1	CA.5E1010A State of Calif 5.75% 10/01/10										
PUR	03-01-01	256995	1,105,000.000	112.745	1,245,832.25				0	0.00	State of Calif 5.75% 10/01/10
SAL	03-29-01	259246	-1,105,000.000	112.283		1,240,727.15	-1,245,832.25	-5,105.10			Calif MBIA 5.75% 10/01/10
	TOTAL -		0.000		1,245,832.25	1,240,727.15	-1,245,832.25	-5,105.10	0	0.00	
SAM1	CA 5E1210 State of Calif 5.75% 12/01/10										
PUR	03-01-01	256996	1,250,000.000	112.914	1,411,425.00				1,000,000	1,129,140.00	State of Calif 5.75% 12/01/10
IAM	03-31-01	261729			0.00						AMORTIZATION
IAM	04-30-01	265245			0.00						AMORTIZATION
IAM	05-31-01	268166			0.00						AMORTIZATION
IAM	06-30-01	271895			0.00						AMORTIZATION
IAM	07-31-01	274457			0.00						AMORTIZATION
IAM	08-31-01	276992			0.00						AMORTIZATION
SAL	09-06-01	278222	-250,000.000	114.717		286,792.50	-282,285.00	4,507.50			California FSA 5.75% 12/01/10
IAM	09-30-01	280109			0.00						AMORTIZATION
IAM	10-31-01	283282			0.00						AMORTIZATION
IAM	11-30-01	286214			0.00						AMORTIZATION
IAM	12-31-01	289443			0.00						AMORTIZATION
	TOTAL -		1,000,000.000		1,411,425.00	286,792.50	-282,285.00	4,507.50	1,000,000	1,129,140.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAM1	CA.5E1210 State of Calif 5.75% 12/01/10	1,000,000.000	PAR	112.914	1,129,140.00	110.742	12-31-01	1,107,420.00	-21,720.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAM1	CA.5E1210A State Calif MBIA 5.75% 12/1/10										
PUR	03-07-01	256997	750,000.000	112.866	846,495.00				0	0.00	State Calif MBIA 5.75% 12/1/10
IAM	03-31-01	261730			0.00						AMORTIZATION
IAM	04-30-01	265246			0.00						AMORTIZATION
IAM	05-31-01	268167			0.00						AMORTIZATION
IAM	06-30-01	271896			0.00						AMORTIZATION
IAM	07-31-01	274458			0.00						AMORTIZATION

ENTITY	INVESTMENT	DESCRIPTION..							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
IAM	08-31-01	276993			0.00						AMORTIZATION
SAL	09-06-01	278223	-750,000.000	114.709		860,317.50	-846,495.00	13,822.50			California MBIA 5.75% 12/1/10
	TOTAL -		0.000		846,495.00	860,317.50	-846,495.00	13,822.50	0	0.00	
SAM1	CA.5P1006	LA Cty Fnc Auch 5.75% 10/1/06									
IAM	01-31-01	250672			0.00						AMORTIZATION
IAM	02-28-01	255422			0.00						AMORTIZATION
IAM	03-31-01	261731			0.00						AMORTIZATION
IAM	04-30-01	265247			0.00						AMORTIZATION
IAM	05-31-01	268168			0.00						AMORTIZATION
IAM	06-30-01	271897			0.00						AMORTIZATION
IAM	07-31-01	274459			0.00						AMORTIZATION
IAM	08-31-01	276994			0.00						AMORTIZATION
IAM	09-30-01	280110			0.00						AMORTIZATION
IAM	10-31-01	283283			0.00						AMORTIZATION
SAL	11-29-01	286146	-1,000,000.000	109.829		1,098,290.00	-1,048,420.00	49,870.00			LA CTY Pub. Work 5.75% 10/1/06
	TOTAL -		-1,000,000.000		0.00	1,098,290.00	-1,048,420.00	49,870.00	0	0.00	
SAM1	CA.5F1310	Calif. Gen Obl 5.75% 12/1/10									
IAM	01-31-01	250673			0.00						AMORTIZATION
IAM	02-28-01	255423			0.00						AMORTIZATION
SAL	03-01-01	256978	-1,250,000.000	112.320		1,404,000.00	-1,370,150.00	33,850.00			STATE OF CALIFORNIA GENL OBLIG 5 3/4% DEC 1 2010 DTD 12/1/2000 HELD BY DTC BOOK
SAL	03-07-01	256984	-750,000.000	112.141		841,057.50	-822,090.00	18,967.50			STATE OF CALIFORNIA GENL OBLIG 5 3/4% DEC 1 2010 DTD 12/1/2000 HELD BY DTC BOOK
	TOTAL -		-2,000,000.000		0.00	2,245,057.50	-2,192,240.00	52,817.50	0	0.00	
SAM1	CA.480912	State of CA Gen 6.26% 09/01/12									
IAM	01-31-01	250674			0.00						AMORTIZATION
IAM	02-28-01	255424			0.00						AMORTIZATION
IAM	03-31-01	261732			0.00						AMORTIZATION
IAM	04-30-01	265248			0.00						AMORTIZATION
IAM	05-31-01	268169			0.00						AMORTIZATION
IAM	06-30-01	271898			0.00						AMORTIZATION
IAM	07-31-01	274460			0.00						AMORTIZATION
IAM	08-31-01	276995			0.00						AMORTIZATION

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                                                                          Market Street Trust Company
04-23-02                                                            PURCHASE / SALE DETAIL HISTORY REPORT                                                                         PAGE 51
FCI.1                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY       PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY    COST BASIS DESCRIPTION
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IAM   09-30-01     280111                                     0.00                                                                        AMORTIZATION
IAM   10-31-01     283284                                     0.00                                                                        AMORTIZATION
IAM   11-30-01     286215                                     0.00                                                                        AMORTIZATION
IAM   12-31-01     289444                                     0.00                                                                        AMORTIZATION
                            ---------------             ------------ ------------ --------------- ------------- ------------ -------------
      TOTAL -                         0.000                   0.00         0.00            0.00          0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      SAM1   CA.680912  State of CA Gen 6.25% 09/01/12   300,000.000 PAR      107.694    323,082.00    111.855 12-31-01     335,565.00        12,483.00

SAM1  CO.50505   CO Hfa 8Cm      5.000% 5/01/06
SAL   04-30-01     265174       -60,000.000     100.000                   60,000.00      -60,000.00          0.00                             CO Housing Fin. 5% 05/01/05
SAL   10-31-01     283166      -100,000.000     100.000                  100,000.00     -100,000.00          0.00                             CO HSNG Fin Auth 5% 05/1/05
                            ---------------             ------------ ------------ --------------- ------------- ------------ -------------
      TOTAL -                  -160,000.000                   0.00   160,000.00     -160,000.00          0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      SAM1   CO.50505   CO Hfa 8Cm      5.000% 5/01/05   240,000.000 PAR      100.000    240,000.00    103.586 12-31-01     248,606.40         8,606.40

SAM1  CO.5D1101  CO CTFS OF PART.
SAL   11-07-01     284185    -1,000,000.000     100.000                1,000,000.00   -1,007,560.00     -7,560.00                             STATE OF COLORADO CTFS OF PARTN REP & ACQUISITION PROJS 5 1/2% NOV 1 2001 DTD 9/
                            ---------------             ------------ ------------ --------------- ------------- ------------ -------------
      TOTAL -                -1,000,000.000                   0.00 1,000,000.00   -1,007,560.00     -7,560.00            0          0.00

SAM1  CO.6D0516  CO HFA '899A'07 05/1/16
IAM   01-31-01     250675                                     0.00                                                                        AMORTIZATION
IAM   02-28-01     255425                                     0.00                                                                        AMORTIZATION
IAM   03-31-01     261733                                     0.00                                                                        AMORTIZATION
SAL   04-30-01     265175       -35,000.000     100.000                   35,000.00      -36,697.50     -1,697.50                             CO Housing Fin. 6.5% 05/01/16
IAM   04-30-01     265249                                     0.00                                                                        AMORTIZATION
IAM   05-31-01     268170                                     0.00                                                                        AMORTIZATION
IAM   06-30-01     271899                                     0.00                                                                        AMORTIZATION
IAM   07-31-01     274461                                     0.00                                                                        AMORTIZATION
IAM   08-31-01     276996                                     0.00                                                                        AMORTIZATION
SAL   09-19-01     278974      -465,000.000     107.250                  498,712.50     -487,552.50     11,160.00                             CO HSNG Fin Auth 6.8% 5/1/16
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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION - TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		-500,000.000		0.00	533,712.50	-524,250.00	9,462.50	0	0.00	
SAW1	CT.SA0600	Conn. Gen Pur Tx 5.25% 6/15/08									
PUR	06-20-01	270540	900,000.000	107.467	967,203.00				0	0.00	Conn Gen Pur Tx 5.25% 6/15/08
IAM	06-30-01	271900			0.00						AMORTIZATION
IAM	07-31-01	274462			0.00						AMORTIZATION
IAM	08-31-01	276997			0.00						AMORTIZATION
IAM	09-30-01	280112			0.00						AMORTIZATION
IAM	10-31-01	283285			0.00						AMORTIZATION
SAL	11-01-01	284179	-900,000.000	109.869		988,821.00	-967,203.00	21,618.00			STATE OF CONNECTICUT GENL PURP UNLIMITED TAX 5 1/4% B JUN 15 2008 DTD 6/15/2001
	TOTAL -		0.000		967,203.00	988,821.00	-967,203.00	21,618.00	0	0.00	
SAW1	CT.60713	CT H&Ed Griffin H 6% 07/01/13									

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1	CT.60713	CT H&Ed Griffin H 6% 07/01/13	300,000.000	PAR	105.853	317,559.00	103.329	12-31-01	309,987.00	-7,572.00

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION - TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAW1	DC.60611	DC Unltd Tx 6% 06-01-11									
IAM	01-31-01	250676			0.00						AMORTIZATION
IAM	02-28-01	255426			0.00						AMORTIZATION
IAM	03-31-01	261734			0.00						AMORTIZATION
CNVFR	04-30-01	264175	-275,000.000	112.425		313,755.75	-313,755.75	0.00			DC Unlim. Tx 6% name change
CNVFR	04-30-01	264176	-525,000.000	112.425		598,988.25	-598,988.25	0.00			DC Unlim. Tx 6% name change
	TOTAL -		-800,000.000		0.00	912,744.00	-912,744.00	0.00	0	0.00	
SAW1	DC.60611A	DC Unltd Tx 6% 06-01-11-escrow									
CNVTO	04-30-01	264175	275,000.000	114.093	313,755.75				275,000	313,755.75	DC Unlim. Tx 6% name change
	TOTAL -		275,000.000		313,755.75	0.00	0.00	0.00	275,000	313,755.75	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1	DC.60611A	DC Unltd Tx 6% 06-01-11-escrow	275,000.000	PAR	114.093	313,755.75	111.155	12-31-01	305,676.25	-8,079.50

SAW1 DC.60611B DC Unltd Tx 6% 06-01-11

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                                                                    Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                              PAGE 56
FC1.1                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
----- -------- ----------    --------------- ---------- ---------- ------------- --------------- -------------  ----------  ------------ -----------
CNVTO 04-30-01     264176      525,000.000    114.093   598,988.25                                                 525,000  598,988.25 DC Unlim. Tx 6% name change
                             ---------------            ---------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                  525,000.000              598,988.25          0.00            0.00          0.00     525,000  598,988.25

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      SAM1   DC.60621B  DC Unltd Tx 6% 06-01-11            525,000.000 PAR       114.093     598,988.25   110.304 12-31-01     579,096.00      -19,892.25

SAM1   FL.SA1003  Miami FL Parking Facility
SAL   10-15-01     281178     -120,000.000    100.000                 120,000.00     -120,850.80       -850.80                           CITY OF MIAMI FLA PARKING FACILS REVREF 5 1/4% OCT 1 2003 DTD 3/1/93 HELD BY DTC
                             ---------------            ---------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                 -120,000.000                    0.00    120,000.00     -120,850.80       -850.80           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      SAM1   FL.SA1003  Miami FL Parking Facility          265,000.000 PAR       100.709     266,878.85   102.626 12-31-01     271,958.90        5,080.05

SAM1   FL.5P0707  FL Board of Ed 5.75% 07/01/07
IAM   01-31-01     250677                                         0.00                                                                   AMORTIZATION
IAM   02-28-01     255427                                         0.00                                                                   AMORTIZATION
IAM   03-31-01     261738                                         0.00                                                                   AMORTIZATION
IAM   04-30-01     265260                                         0.00                                                                   AMORTIZATION
IAM   05-31-01     268171                                         0.00                                                                   AMORTIZATION
IAM   06-30-01     271903                                         0.00                                                                   AMORTIZATION
IAM   07-31-01     274463                                         0.00                                                                   AMORTIZATION
IAM   08-31-01     276998                                         0.00                                                                   AMORTIZATION
IAM   09-30-01     280113                                         0.00                                                                   AMORTIZATION
IAM   10-31-01     283386                                         0.00                                                                   AMORTIZATION
IAM   11-30-01     286216                                         0.00                                                                   AMORTIZATION
IAM   12-31-01     289445                                         0.00                                                                   AMORTIZATION
                             ---------------            ---------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                        0.000                    0.00          0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM      AVERAGE           COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      SAM1   FL.5P0707  FL Board of Ed 5.75% 07/01/07      550,000.000 PAR       106.834     587,587.00   108.632 12-31-01     597,476.00        9,889.00
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04-23-02                                                       Market Street Trust Company
FC3.3                                                    PURCHASE / SALE DETAIL HISTORY REPORT
                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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SAW1   FL.501000  Orlando Wtr&Elec 5.9% 10/01/08
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      SAW1   FL.501000  Oxlando Wtr&Elec 5.9% 10/01/08    200,000.000 PAR     108.295     216,590.00   110.253 12-31-01     220,506.00        3,916.00

SAW1   FL.61007   Palm Bch FL 6% 10/01/07
IAM   01-31-01      250678                                         0.00                                                                    AMORTIZATION
IAM   02-28-01      255428                                         0.00                                                                    AMORTIZATION
IAM   03-31-01      261736                                         0.00                                                                    AMORTIZATION
IAM   04-30-01      265261                                         0.00                                                                    AMORTIZATION
IAM   05-31-01      268172                                         0.00                                                                    AMORTIZATION
IAM   06-30-01      271902                                         0.00                                                                    AMORTIZATION
IAM   07-31-01      274464                                         0.00                                                                    AMORTIZATION
IAM   08-31-01      276999                                         0.00                                                                    AMORTIZATION
IAM   09-30-01      280114                                         0.00                                                                    AMORTIZATION
IAM   10-31-01      283287                                         0.00                                                                    AMORTIZATION
IAM   11-30-01      286217                                         0.00                                                                    AMORTIZATION
IAM   12-31-01      289446                                         0.00                                                                    AMORTIZATION
                              --------------           ------------- ------------- --------------- ------------- ---------- ------------
      TOTAL -                          0.000                    0.00          0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      SAW1   FL.61007   Palm Bch FL 6% 10/01/07        1,000,000.000 PAR     106.398   1,063,980.00   109.715 12-31-01   1,097,150.00       33,170.00

SAW1   FL.6D0604  Board of Educ. 6.5% 06/01/04
PUR   07-20-01      273704       500,000.000   108.318    541,590.00                                                500,000    541,590.00  Board of Educ 6.5% 06/01/04
IAM   07-31-01      274465                                         0.00                                                                    AMORTIZATION
PUR   08-22-01      276248       300,000.000   108.908    326,724.00                                                300,000    326,724.00  FL Board of Ed 6.5% 6/01/04
IAM   08-31-01      277000                                         0.00                                                                    AMORTIZATION
IAM   08-31-01      277001                                         0.00                                                                    AMORTIZATION
IAM   09-30-01      280115                                         0.00                                                                    AMORTIZATION
IAM   09-30-01      280116                                         0.00                                                                    AMORTIZATION
IAM   10-31-01      283288                                         0.00                                                                    AMORTIZATION
IAM   10-31-01      283289                                         0.00                                                                    AMORTIZATION
IAM   11-30-01      286218                                         0.00                                                                    AMORTIZATION
IAM   11-30-01      286219                                         0.00                                                                    AMORTIZATION
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04-23-02                                              Market Street Trust Company
PC3.3                                          PURCHASE / SALE DETAIL HISTORY REPORT
                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                                  REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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IAM   12-31-01     289447                                        0.00                                                                     AMORTIZATION
IAM   12-31-01     289448                                        0.00                                                                     AMORTIZATION
                              --------------            ------------- ------------- --------------- -------------  ---------- ------------
      TOTAL -                  800,000.000                 868,314.00          0.00            0.00          0.00     800,000   868,314.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      SAM1 : FL.600604  Board of Educ. 6.5% 06/01/04  800,000.000 PAR      108.539    868,314.00    108.143  12-31-01     865,144.00      -3,170.00

SAM1  GA.60106 : Muni Elec Auth 6% 01/01/06
IAM   01-31-01     250679                                        0.00                                                                     AMORTIZATION
IAM   02-28-01     255429                                        0.00                                                                     AMORTIZATION
SAL   03-29-01     259248     -1,000,000.000    108.625                1,086,250.00   -1,042,380.00     43,870.00                             GA Muni Elec Auth 6% 01/01/06
IAM   03-31-01     261737                                        0.00                                                                     AMORTIZATION
IAM   04-30-01     265262                                        0.00                                                                     AMORTIZATION
IAM   05-31-01     268173                                        0.00                                                                     AMORTIZATION
IAM   06-30-01     271903                                        0.00                                                                     AMORTIZATION
IAM   07-31-01     274466                                        0.00                                                                     AMORTIZATION
IAM   08-31-01     277002                                        0.00                                                                     AMORTIZATION
IAM   09-30-01     280117                                        0.00                                                                     AMORTIZATION
IAM   10-31-01     283290                                        0.00                                                                     AMORTIZATION
IAM   11-30-01     286220                                        0.00                                                                     AMORTIZATION
IAM   12-31-01     289449                                        0.00                                                                     AMORTIZATION
                              --------------            ------------- ------------- --------------- -------------  ---------- ------------
      TOTAL -               -1,000,000.000                       0.00  1,086,250.00   -1,042,380.00     43,870.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      SAM1   GA.60106   Muni Elec Auth 6% 01/01/06  1,340,000.000 PAR      104.238  1,396,789.20    108.424  12-31-01   1,452,881.60      56,092.40

SAM1  GA.60106X  Muni Elec Auth 6% 1/1/06 Escro
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      SAM1 : GA.60106X  Muni Elec Auth 6% 1/1/06 Escro  230,000.000 PAR      104.238    239,747.40    109.160  12-31-01     251,068.00      11,320.60

SAM1  GA.61010   State of Georgia 6% 10/01/10
IAM   01-31-01     250680                                        0.00                                                                     AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION-- TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	02-28-01	255430			0.00						AMORTIZATION
IAM	03-31-01	261738			0.00						AMORTIZATION
IAM	04-30-01	266251			0.00						AMORTIZATION
IAM	05-31-01	268174			0.00						AMORTIZATION
IAM	06-30-01	271904			0.00						AMORTIZATION
IAM	07-31-01	274467			0.00						AMORTIZATION
IAM	08-31-01	277003			0.00						AMORTIZATION
IAM	09-30-01	280118			0.00						AMORTIZATION
IAM	10-31-01	283291			0.00						AMORTIZATION
IAM	11-30-01	286221			0.00						AMORTIZATION
IAM	12-31-01	289450			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1	GA.61010	State of Georgia 6% 10/01/10	600,000.000	PAR	109.868	659,208.00	111.682	12-31-01	670,092.00	10,884.00

SAW1 GA.6E1204 Hall CNTY GA 6.7% 12/01/04

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	09-20-01	278970	400,000.000	113.327	453,308.00				400,000	453,308.00	Hall CNTY GA 6.7% 12/01/04
IAM	09-30-01	280119			0.00						AMORTIZATION
IAM	10-31-01	283292			0.00						AMORTIZATION
IAM	11-30-01	286222			0.00						AMORTIZATION
IAM	12-31-01	289451			0.00						AMORTIZATION
	TOTAL -		400,000.000		453,308.00	0.00	0.00	0.00	400,000	453,308.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1	GA.6E1204	Hall CNTY GA 6.7% 12/01/04	400,000.000	PAR	113.327	453,308.00	112.361	12-31-01	449,444.00	-3,864.00

SAW1 GA.70108 GA Muni Elec Pwr 7% 01/01/08

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250681			0.00						AMORTIZATION
IAM	02-28-01	255431			0.00						AMORTIZATION
IAM	03-31-01	261739			0.00						AMORTIZATION
PUR	04-19-01	263791	50,000.000	113.248	56,624.00				50,000	56,624.00	Geogia Mun EAP 7% 01/1/08
IAM	04-30-01	265254			0.00						AMORTIZATION

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	04-30-01	265255			0.00						AMORTIZATION
IAM	05-31-01	268175			0.00						AMORTIZATION
IAM	05-31-01	268176			0.00						AMORTIZATION
IAM	06-30-01	271905			0.00						AMORTIZATION
IAM	06-30-01	271906			0.00						AMORTIZATION
SAL	07-03-01	272754	-150,000.000	115.948		173,922.00	-167,982.00	5,940.00			GEORGIA MUNICIPAL ELECTRIC AUTH PWR REV 7% DD JAN 1 2008 DTD 1/1/98 MBIAC INSURE
IAM	07-31-01	274468			0.00						AMORTIZATION
IAM	07-31-01	274469			0.00						AMORTIZATION
IAM	08-31-01	277004			0.00						AMORTIZATION
IAM	08-31-01	277005			0.00						AMORTIZATION
IAM	09-30-01	280120			0.00						AMORTIZATION
IAM	09-30-01	280121			0.00						AMORTIZATION
IAM	10-31-01	283293			0.00						AMORTIZATION
IAM	10-31-01	283294			0.00						AMORTIZATION
IAM	11-30-01	286223			0.00						AMORTIZATION
IAM	11-30-01	286224			0.00						AMORTIZATION
IAM	12-31-01	289452			0.00						AMORTIZATION
IAM	12-31-01	289453			0.00						AMORTIZATION
TOTAL -			-100,000.000		56,624.00	173,922.00	-167,982.00	8,940.00	50,000	56,624.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAM1 GA.70108 GA Muni Elec Pwr 7% 01/01/08	500,000.000 PAR	112.114	560,570.00	115.373	12-31-01	576,865.00	16,295.00

SAM1 HI.60403 Hawaii Gen Purp Tx 6% 04/01/03

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250682			0.00						AMORTIZATION
IAM	02-28-01	255432			0.00						AMORTIZATION
IAM	03-31-01	261740			0.00						AMORTIZATION
IAM	04-30-01	265256			0.00						AMORTIZATION
IAM	05-31-01	268177			0.00						AMORTIZATION
SAL	06-06-01	268536	-250,000.000	104.670		261,675.00	-257,475.00	4,200.00			STATE OF HAWAII GENL PURP UNLIMITED TAX 6% CR APR 1 2003 DTD 4/1/98 MBIAC INSURE
IAM	06-30-01	271907			0.00						AMORTIZATION
IAM	07-31-01	274470			0.00						AMORTIZATION
IAM	08-31-01	277006			0.00						AMORTIZATION
IAM	09-30-01	280122			0.00						AMORTIZATION
SAL	10-01-01	281168	-1,250,000.000	105.112		1,313,900.00	-1,287,375.00	26,525.00			STATE OF HAWAII GENL PURP UNLIMITED TAX 6% CR APR 1 2003 DTD 4/1/98 MBIAC INSURE

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                                                                              Market Street Trust Company
04-23-02                                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                PAGE 60
FC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING      REMAINING
TYPE TXN DATE TXN NUMBER            QUANTITY        PRICE      COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY      COST BASIS  DESCRIPTION
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     TOTAL -                -1,500,000.000                         0.00  1,575,575.00   -1,544,850.00     30,725.00             0          0.00

SAM1  IL.51110   Cty of Berwyn 5% 11/15/10
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     SAM1   IL.51110   Cty of Berwyn 5% 11/15/10           450,000.000 PAR      98.683    444,075.00   102.883 12-31-01    462,973.50       18,898.50

SAM1  IL.5C0807  IL HLTH FAC 5.3% 8/15/07
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     SAM1   IL.5C0807  IL HLTH FAC 5.3% 8/15/07          1,000,000.000 PAR      99.195    991,950.00   104.686 12-31-01  1,046,860.00       54,910.00

SAM1  IL.5C1004  IL Hghld Pk Hosp 5.45% 10/1/04
IAM  01-31-01      250683                                              0.00                                                                   AMORTIZATION
IAM  02-28-01      255433                                              0.00                                                                   AMORTIZATION
IAM  03-31-01      261741                                              0.00                                                                   AMORTIZATION
IAM  04-30-01      265257                                              0.00                                                                   AMORTIZATION
IAM  05-31-01      268178                                              0.00                                                                   AMORTIZATION
IAM  06-30-01      271908                                              0.00                                                                   AMORTIZATION
IAM  07-31-01      274471                                              0.00                                                                   AMORTIZATION
IAM  08-31-01      277007                                              0.00                                                                   AMORTIZATION
IAM  09-30-01      280123                                              0.00                                                                   AMORTIZATION
IAM  10-31-01      283295                                              0.00                                                                   AMORTIZATION
IAM  11-30-01      286225                                              0.00                                                                   AMORTIZATION
IAM  12-31-01      289454                                              0.00                                                                   AMORTIZATION
                              --------------              -------------- ------------- --------------- -------------  ------------ -------------
     TOTAL -                           0.000                           0.00          0.00            0.00          0.00             0          0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     SAM1   IL.5C1004  IL Hghld Pk Hosp 5.45% 10/1/04      975,000.000 PAR     100.264    977,575.50   106.669 12-31-01  1,040,022.75       62,447.25

SAM1  IL.60609   Illinois sales tax 6% 06/15/09
IAM  01-31-01      250684                                              0.00                                                                   AMORTIZATION
IAM  02-28-01      255434                                              0.00                                                                   AMORTIZATION
IAM  03-31-01      261742                                              0.00                                                                   AMORTIZATION
IAM  04-30-01      265258                                              0.00                                                                   AMORTIZATION
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                                                                   Market Street Trust Company
04-23-02                                                       PURCHASE / SALE DETAIL HISTORY REPORT
PC1.3                                                          BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS      QUANTITY    COST BASIS DESCRIPTION
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IAM   05-31-01     268179                                       0.00                                                                        AMORTIZATION
IAM   06-30-01     271909                                       0.00                                                                        AMORTIZATION
IAM   07-31-01     274472                                       0.00                                                                        AMORTIZATION
IAM   08-31-01     277048                                       0.00                                                                        AMORTIZATION
IAM   09-30-01     280124                                       0.00                                                                        AMORTIZATION
IAM   10-31-01     283296                                       0.00                                                                        AMORTIZATION
IAM   11-30-01     286226                                       0.00                                                                        AMORTIZATION
IAM   12-31-01     289456                                       0.00                                                                        AMORTIZATION
                              --------------            -------------  ------------- --------------- -------------  ------------ -------------
      TOTAL                            0.000                    0.00           0.00            0.00          0.00             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE     DATE      MARKET VALUE  UNREALIZED G/L
      SAM1   IL.60609   Illinois sales tax 6% 06/15/09     500,000.000 PAR     108.126     540,630.00    109.806  12-31-01       549,030.00        8,400.00

SAM1  IL.680511  IL Hlth Fac Glbrg 6.25% 6/1/11
IAM   01-31-01     250605                                       0.00                                                                        AMORTIZATION
IAM   02-28-01     255415                                       0.00                                                                        AMORTIZATION
IAM   03-31-01     261743                                       0.00                                                                        AMORTIZATION
IAM   04-30-01     265259                                       0.00                                                                        AMORTIZATION
IAM   05-31-01     268180                                       0.00                                                                        AMORTIZATION
IAM   06-30-01     271910                                       0.00                                                                        AMORTIZATION
IAM   07-31-01     274473                                       0.00                                                                        AMORTIZATION
IAM   08-31-01     277009                                       0.00                                                                        AMORTIZATION
IAM   09-30-01     280125                                       0.00                                                                        AMORTIZATION
IAM   10-31-01     283297                                       0.00                                                                        AMORTIZATION
IAM   11-30-01     286227                                       0.00                                                                        AMORTIZATION
IAM   12-31-01     289456                                       0.00                                                                        AMORTIZATION
                              --------------            -------------  ------------- --------------- -------------  ------------ -------------
      TOTAL -                          0.000                    0.00           0.00            0.00          0.00             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE     DATE      MARKET VALUE  UNREALIZED G/L
      SAM1   IL.680511  IL Hlth Fac Glbrg 6.25% 6/1/11     500,000.000 PAR     107.443     537,215.00    103.201  12-31-01       516,005.00      -21,210.00

SAM1  IL.680701  IL Reg Dev 6.65% 07/01/02
IAM   01-31-01     250606                                       0.00                                                                        AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	04-06-01	263178	100.000	37.250	3,755.00				100	3,755.00	Mercantile Bankshares Corp
PUR	04-06-01	263179	100.000	37.063	3,736.25				100	3,736.25	Mercantile Bankshares Corp
PUR	04-06-01	263180	100.000	37.250	3,765.00				100	3,755.00	Mercantile Bankshares Corp
PUR	04-06-01	263181	500.000	37.250	18,775.00				500	18,775.00	Mercantile Bankshares Corp
PUR	04-06-01	263182	100.000	37.250	3,755.00				100	3,755.00	Mercantile Bankshares Corp
PUR	04-06-01	263183	100.000	37.250	3,755.00				100	3,755.00	Mercantile Bankshares Corp
PUR	08-21-01	275884	100.000	43.000	4,300.00				100	4,300.00	Mercantile Bankshares Corp
PUR	08-21-01	276885	300.000	43.000	12,900.00				300	12,900.00	Mercantile Bankshares Corp
PUR	08-21-01	275887	300.000	43.000	12,900.00				300	12,900.00	Mercantile Bankshares Corp
PUR	08-21-01	275888	300.000	43.000	12,900.00				300	12,900.00	Mercantile Bankshares Corp
PUR	08-21-01	275889	1,700.000	43.000	73,100.00				1,700	73,100.00	Mercantile Bankshares Corp
PUR	08-21-01	275890	300.000	43.000	12,900.00				300	12,900.00	Mercantile Bankshares Corp
PUR	08-21-01	275891	100.000	43.000	4,300.00				100	4,300.00	Mercantile Bankshares Corp
	TOTAL -		8,600.000		339,256.25	0.00	0.00	0.00	8,600	339,256.25	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	MRBK	Mercantile Bankshares Corp	8,600.000	SHRS	39.448	339,256.25	43.040	12-31-01	370,144.00	30,887.75

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	NCR	NCR Corporation									
PUR	08-17-01	275881	3,200.000	38.018	121,849.60				3,200	121,849.60	NCR Corp New @38.018
PUR	09-28-01	278933	3,900.000	31.040	121,290.00				3,900	121,290.00	NCR Corp
	TOTAL -		7,100.000		243,139.60	0.00	0.00	0.00	7,100	243,139.60	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	NCR	NCR Corporation	7,100.000	SHRS	34.245	243,139.60	36.860	12-31-01	261,706.00	18,566.40

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	NFB	North Fork Bancorporation									
PUR	03-02-01	257083	12,000.000	25.885	310,614.00				12,000	310,614.00	North Fork Bancorp
	TOTAL -		12,000.000		310,614.00	0.00	0.00	0.00	12,000	310,614.00	

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04-23-02                                                       Market Street Trust Company
FC3.3                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                          PAGE 10
                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                      REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM        AVERAGE          COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    NFB       North Fork Bancorporation           12,000.000 SHRS      25.885     310,614.00    31.990  12-31-01    383,880.00       73,266.00

PCM    NSM      National Semiconductor Corp
PUR   03-02-01    257082         9,300.000     23.398   217,604.19                                                       0          0.00  National Semiconductor
SAL   05-11-01    266440        -9,300.000     24.715                229,285.69    -217,604.19    11,681.50                                 National Semiconductor Corp
                              ------------               ----------  ------------  -------------  ------------  ----------  ------------
      TOTAL -                        0.000               217,604.19  229,285.69    -217,604.19    11,681.50              0          0.00

PCM    NWSA     New Corp LTD Sponsored A/D/R
CNVTO 08-08-01    279376         4,828.000     32.125   155,098.39                                                       0          0.00  Chris Craft cash elect/exch.
SAL   11-08-01    284825        -4,828.000     23.988                115,522.45    -155,098.39   -39,575.94                                 News Corp LTD @23.9984
                              ------------               ----------  ------------  -------------  ------------  ----------  ------------
      TOTAL -                        0.000               155,098.39  115,522.45    -155,098.39   -39,575.94              0          0.00

PCM    NYT      New York Times Co A
PUR   03-08-01    257095         5,100.000     41.500   211,956.00                                                   5,100    211,956.00  NY Times Company CL A
PUR   03-09-01    257096         2,100.000     41.694    87,682.56                                                   2,100     87,682.56  NY Times Company CL A
PUR   06-14-01    269759         7,200.000     40.000   288,432.00                                                   7,200    288,432.00  New York Time Co A
                              ------------               ----------  ------------  -------------  ------------  ----------  ------------
      TOTAL -                       14,400.000           588,070.56        0.00           0.00          0.00        14,400    588,070.56

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM        AVERAGE          COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    NYT       New York Times Co A                 14,400.000 SHRS      40.838     588,070.56    43.250  12-31-01    622,800.00       34,729.44

PCM    PBOC     PBOC Holdings Inc
PUR   03-02-01    257091         2,500.000      9.844    24,759.38                                                       0          0.00  PBOC Holdings Inc
PUR   03-02-01    257092         2,500.000      9.844    24,759.38                                                       0          0.00  PBOC Holdings Inc
SAL   06-07-01    264439        -5,000.000     10.000                 50,000.00     -49,518.76       481.24                                 PBOC Holdings Inc Cash Merger
                              ------------               ----------  ------------  -------------  ------------  ----------  ------------
      TOTAL -                        0.000                49,518.76   50,000.00     -49,518.76       481.24              0          0.00

PCM    PPE      Park Place Entertainment Corp
PUR   03-21-01    259190        19,900.000      9.812   196,460.76                                                  19,900    196,460.76  Park Place Entertainment
                              ------------               ----------  ------------  -------------  ------------  ----------  ------------
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		19,900.000		196,460.76	0.00	0.00	0.00	19,900	196,460.76	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	PPE	Park Place Entertainment Corp	19,900.000	SHRS	9.872	196,460.76	9.170	12-31-01	182,483.00	-13,977.76

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	PROG	Progressive Software Corp									
PUR	03-02-01	257150	819.000	15.492	12,737.17				819	12,737.17	Progress Software Corp
PUR	03-02-01	257151	1,000.000	15.313	15,372.50				1,000	15,372.60	Progress Software Corp
PUR	03-02-01	257152	200.000	15.313	3,074.50				200	3,074.50	Progress Software Corp
PUR	03-02-01	257153	200.000	15.313	3,074.50				200	3,074.60	Progress Software Corp
PUR	03-02-01	257154	200.000	15.313	3,074.50				200	3,074.50	Progress Software Corp
PUR	03-02-01	257155	100.000	15.313	1,537.25				100	1,537.25	Progress Software Corp
PUR	03-02-01	257156	100.000	15.375	1,543.50				100	1,543.50	Progress Software Corp
PUR	03-02-01	257157	100.000	15.375	1,543.50				100	1,543.50	Progress Software Corp
PUR	03-02-01	257158	100.000	15.375	1,543.50				100	1,543.50	Progress Software Corp
PUR	03-02-01	257159	100.000	15.375	1,543.50				100	1,543.50	Progress Software Corp
PUR	03-02-01	257160	197.000	15.500	3,065.32				197	3,065.32	Progress Software Corp
PUR	03-02-01	257161	100.000	15.500	1,556.00				100	1,556.00	Progress Software Corp
PUR	03-02-01	257162	1,000.000	15.492	15,552.10				1,000	15,532.10	Progress Software Corp
PUR	03-02-01	257163	400.000	15.500	6,224.00				400	6,224.00	Progress Software Corp
PUR	03-02-01	257164	288.000	15.500	4,481.28				288	4,481.28	Progress Software Corp
PUR	03-02-01	257166	100.000	15.500	1,556.00				100	1,556.00	Progress Software Corp
PUR	03-02-01	257167	700.000	15.500	10,892.00				700	10,892.00	Progress Software Corp
PUR	03-02-01	257168	200.000	15.500	3,112.00				200	3,112.00	Progress Software Corp
PUR	03-02-01	257169	1,000.000	15.500	15,560.00				1,000	15,560.00	Progress Software Corp
PUR	03-02-01	257170	148.000	15.500	2,302.88				148	2,302.88	Progress Software Corp
PUR	03-02-01	257171	250.000	15.500	3,890.00				250	3,890.00	Progress Software Corp
PUR	03-02-01	257172	100.000	15.500	1,556.00				100	1,556.00	Progress Software Corp
PUR	03-02-01	257173	900.000	15.500	14,004.00				900	14,004.00	Progress Software Corp
PUR	03-02-01	257175	100.000	15.500	1,556.00				100	1,556.00	Progress Software Corp
PUR	03-02-01	257176	200.000	15.500	3,112.00				200	3,112.00	Progress Software Corp
PUR	03-02-01	257177	600.000	15.500	9,336.00				600	9,336.00	Progress Software Corp
PUR	03-02-01	257178	1,000.000	15.500	15,560.00				1,000	15,560.00	Progress Software Corp
PUR	03-02-01	257179	800.000	15.500	12,448.00				800	12,448.00	Progress Software Corp
PUR	03-02-01	257180	200.000	15.500	3,112.00				200	3,112.00	Progress Software Corp
PUR	03-02-01	257181	198.000	15.500	3,080.88				198	3,080.88	Progress Software Corp

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                                                                    Market Street Trust Company
04-22-02                                                         PURCHASE / SALE DETAIL HISTORY REPORT                                          PAGE 33
PC3.3                                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                             REMAINING     REMAINING
TYPE  TRN DATE TRN NUMBER            QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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PUR   03-02-01     257182            1,000.000     15.500    15,560.00                                                   1,000     15,560.00 Progress Software Corp
PUR   03-02-01     257183              200.000     15.500     3,112.00                                                     200      3,112.00 Progress Software Corp
PUR   03-02-01     257184            1,000.000     15.500    15,560.00                                                   1,000     15,560.00 Progress Software Corp
PUR   03-02-01     257185              200.000     15.500     3,112.00                                                     200      3,112.00 Progress Software Corp
PUR   03-02-01     257186              100.000     15.500     1,537.25                                                     100      1,537.25 Progressive Software Corp
                                  ------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                       13,900.000              215,882.13          0.00            0.00          0.00      13,900    215,882.13

      CURRENT HOLDINGS
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PCM    PRGS      Progressive Software Corp         13,900.000 SHRS      15.531    215,882.13     17.280  12-31-01     240,192.00       24,309.87

PCM   QCOM       QualComm Inc
PUR   03-12-01     257065            2,000.000     50.438   100,875.00                                                   2,000    100,875.00 Qualcomm Inc
PUR   04-06-01     263195            2,500.000     45.063   112,656.25                                                   2,500    112,656.25 Qualcomm Inc
PUR   10-05-01     280974            1,500.000     39.579    59,368.50                                                   1,500     59,368.50 Qualcomm Inc @39.579
                                  ------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                        6,000.000              272,899.75          0.00            0.00          0.00       6,000    272,899.75

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PCM    QCOM      QualComm Inc                      13,500.000 SHRS      38.117    514,574.50     50.500  12-31-01     303,000.00     -211,574.50

PCM   RJF        Raymond James Financial Inc
PUR   03-02-01     257080           12,500.000     33.661   420,758.75                                                  12,500    420,758.75 Raymond James Financial Inc
PUR   04-05-01     263125            2,700.000     28.902    78,034.05                                                   2,700     78,034.05 Raymond James Financial Inc
PUR   06-06-01     268834            2,000.000     29.791    59,582.00                                                   2,000     59,582.00 Raymond James Financial
PUR   06-07-01     268838            2,000.000     30.060    60,120.00                                                   2,000     60,120.00 Raymond James Financial
                                  ------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                       19,200.000              618,494.80          0.00            0.00          0.00      19,200    618,494.80

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PCM    RJF       Raymond James Financial Inc       19,200.000 SHRS      32.213    618,494.80     35.520  12-31-01     681,984.00       63,489.20

PCM   RUS        Russ Berrie & Co Inc
PUR   05-03-01     266441           13,400.000     25.411   340,503.38                                                  13,400    340,503.38 Russ Berrie & Co Inc
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                                                                        Market Street Trust Company
04-23-02                                                             PURCHASE / SALE DETAIL HISTORY REPORT
PC3.3                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -                  13,400.000                 340,503.38          0.00          0.00         0.00       13,400   340,503.38

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PCM    RUS       Russ Berrie & Co Inc            13,400.000 SHRS      25.411    340,503.38      30.000  12-31-01     402,000.00        61,496.62

PCM   SFA      Scientific Atlanta Inc
PUR   07-20-01    273425         5,600.000      22.350    125,160.00                                                    5,600   125,160.00  Scientific Atlanta Inc @22.35
PUR   11-01-01    284149         5,600.000      22.144    124,344.08                                                    5,600   124,344.08  Scientific Atlanta @22.1443
                               -------------             -------------  ------------- --------------- ------------ ------------ ------------
      TOTAL -                  11,200.000                 249,504.08          0.00          0.00         0.00       11,200   249,504.08

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PCM    SFA       Scientific Atlanta Inc          13,600.000 SHRS      22.228    302,306.00      23.940  12-31-01     268,128.00       -34,178.00

PCM   SRR      Stride Rite Corp
PUR   03-08-01    257091        23,600.000       7.961    189,288.52                                                   23,600   189,288.52  Stride Rite Corp
PUR   03-09-01    257094         2,000.000       7.970     16,060.00                                                    2,000    16,060.00  Stride Rite Corp
PUR   04-05-01    263126         9,300.000       7.210     67,051.14                                                    9,300    67,051.14  Stride Rite Corp
                               -------------             -------------  ------------- --------------- ------------ ------------ ------------
      TOTAL -                  34,900.000                 272,399.66          0.00          0.00         0.00       34,900   272,399.66

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PCM    SRR       Stride Rite Corp                34,900.000 SHRS       7.805    272,399.66       6.550  12-31-01     228,595.00       -43,804.66

PCM   SUP      Superior Industries
PUR   06-14-01    269761         9,600.000      36.960    354,816.00                                                    9,600   354,816.00  Superior Industries
PUR   11-01-01    284151         9,600.000      34.480    331,008.96                                                    9,600   331,008.96  Superior Industries @34.4801
                               -------------             -------------  ------------- --------------- ------------ ------------ ------------
      TOTAL -                  19,200.000                 685,824.96          0.00          0.00         0.00       19,200   685,824.96

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PCM    SUP       Superior Industries             15,900.000 SHRS      35.463    563,896.96      40.250  12-31-01     772,800.00       208,903.04
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04-23-02                                                                        Market Street Trust Company
FC3.3                                                                   PURCHASE / SALE DETAIL HISTORY REPORT
                                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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PCM    SV        Stilwell Financial Inc
PUR   06-14-01     269760         8,400.000    31.166    262,295.88                                                   8,400    262,295.88  Stilwell Financial Inc
PUR   06-15-01     269766         6,000.000    30.980    186,237.00                                                   6,000    186,237.00  Stilwell Financial Inc
PUR   09-26-01     279053        14,400.000    19.848    286,673.76                                                  14,400    286,673.76  Stilwell Financial Inc @19.84
                              -------------           ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                    28,800.000               735,206.64          0.00            0.00          0.00      28,800    735,206.64

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM       AVERAGE          COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      PCM    SV        Stilwell Financial Inc   28,800.000 SHRS       25.528    735,206.64     27.220  12-31-01      783,936.00       48,729.36

PCM    TEK       Tektronix Inc
PUR   06-12-01     269755        14,600.000    25.036    366,398.68                                                  14,600    366,398.68  Tektronics Inc
PUR   08-17-01     275882         5,900.000    20.800    123,074.00                                                   5,900    123,074.00  Tektronix Inc @20.80
PUR   11-01-01     284150        20,500.000    20.361    418,630.50                                                  20,500    418,630.50  Tektronix Inc @20.361
                              -------------           ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                    41,000.000               908,103.18          0.00            0.00          0.00      41,000    908,103.18

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM       AVERAGE          COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      PCM    TEK       Tektronix Inc            41,000.000 SHRS       22.149    908,103.18     25.780  12-31-01    1,056,980.00      148,876.82

PCM    TII       Thomas Industries Inc
PUR   04-20-01     263952         1,500.000    23.750     35,715.00                                                   1,500     35,715.00  Thomas Industries Inc
PUR   12-24-01     288647         5,000.000    23.790    119,250.00                                                   5,000    119,250.00  Thomas Industries Inc @23.79
                              -------------           ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                     6,500.000               154,965.00          0.00            0.00          0.00       6,500    154,965.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM       AVERAGE          COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      PCM    TII       Thomas Industries Inc     6,500.000 SHRS       23.841    154,965.00     25.000  12-31-01      162,500.00        7,535.00

PCM    TOPP      TOPPS Inc
PUR   03-08-01     257132           800.000     9.672      7,785.60                                                     800      7,785.60  Topps Inc
PUR   03-08-01     257133         1,200.000     9.719     11,734.50                                                   1,200     11,734.50  Topps Inc
PUR   03-08-01     257134           100.000     9.719        977.88                                                     100        977.88  Topps Inc
PUR   03-08-01     257135           500.000     9.719      4,889.38                                                     500      4,889.38  Topps Inc
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ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-08-01	257136	500.000	9.719	4,889.38				500	4,889.38	Topps Inc
PUR	03-08-01	257137	1,000.000	9.719	9,778.75				1,000	9,778.75	Topps Inc
PUR	03-08-01	257138	9,100.000	9.719	88,986.63				9,100	88,986.63	Topps Inc
PUR	03-08-01	257139	1,000.000	9.563	9,622.50				1,000	9,622.50	Topps Inc
PUR	03-08-01	257140	2,000.000	9.563	19,245.00				2,000	19,245.00	Topps Inc
PUR	03-08-01	257141	1,000.000	9.563	9,622.50				1,000	9,622.50	Topps Inc
PUR	03-08-01	257142	300.000	9.563	2,886.75				300	2,886.75	Topps Inc
PUR	03-08-01	257143	1,500.000	9.563	14,433.75				1,500	14,433.75	Topps Inc
PUR	03-08-01	257144	1,000.000	9.688	9,747.50				1,000	9,747.50	Topps Inc
PUR	03-09-01	257145	200.000	9.125	1,837.00				200	1,837.00	Topps Inc
PUR	03-09-01	257146	6,800.000	9.125	62,458.00				6,800	62,458.00	Topps Inc
PUR	03-09-01	257147	8,000.000	9.125	73,400.00				8,000	73,400.00	Topps Inc
PUR	03-09-01	257148	1,000.000	9.125	9,185.00				1,000	9,185.00	Topps Inc
PUR	03-09-01	257149	4,000.000	9.125	36,740.00				4,000	36,740.00	Topps Inc
	TOTAL -		40,000.000		378,300.02	0.00	0.00	0.00	40,000	378,300.02	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	TOPP	TOPPS Inc	40,000.000 SHRS	9.458	378,300.02	12.150	12-31-01	486,000.00	107,699.98

PCM UCBH UCBH Holdings Inc

PUR	04-06-01	263196	900.000	44.250	39,915.00				1,800	39,915.00	UCBH Holdings Inc New
PUR	04-06-01	263197	1,500.000	44.350	66,525.00				3,000	66,525.00	UCBH Holdings Inc New
PUR	04-06-01	263198	100.000	44.350	4,435.00				200	4,435.00	UCBH Holdings Inc New
PUR	04-06-01	263199	1,000.000	44.350	44,350.00				2,000	44,350.00	UCBH Holdings Inc New
SPLDV	04-11-01	263200	3,500.000		0.00				0	0.00	UCBH Hldgs 2 for 1 stock split
	TOTAL -		7,000.000		155,225.00	0.00	0.00	0.00	7,000	155,225.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	UCBH	UCBH Holdings Inc	7,000.000 SHRS	22.175	155,225.00	28.440	12-31-01	199,080.00	43,855.00

PCM UHS Universal Health Services

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	UHS	Universal Health Services	13,000.000	SHRS	38.263	497,413.80	42.780	12-31-01	0.00	-497,413.80

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	WBST	Webster Financial Corp PV									
PUR	03-02-01	257117	100.000	28.625	2,862.50				0	0.00	Webster Financial Corp
PUR	03-02-01	257118	100.000	28.625	2,862.50				0	0.00	Webster Financial Corp
PUR	03-02-01	257119	100.000	28.625	2,862.50				100	2,862.50	Webster Financial Corp
PUR	03-02-01	257120	100.000	28.625	2,862.50				100	2,862.50	Webster Financial Corp
PUR	03-02-01	257121	100.000	28.563	2,856.25				100	2,856.25	Webster Financial Corp
PUR	03-02-01	257122	100.000	28.563	2,856.25				100	2,856.25	Webster Financial Corp
PUR	03-02-01	257124	100.000	28.563	2,856.25				100	2,856.25	Webster Financial Corp
PUR	03-02-01	257125	100.000	28.563	2,856.25				100	2,856.25	Webster Financial Corp
PUR	03-02-01	257126	200.000	28.750	5,750.00				200	5,750.00	Webster Financial Corp
PUR	03-02-01	257127	1,000.000	28.750	28,750.00				1,000	28,750.00	Webster Financial Corp
PUR	03-02-01	257128	600.000	28.688	17,212.50				600	17,212.50	Webster Financial Corp
PUR	03-02-01	257129	7,100.000	28.813	204,568.75				7,100	204,568.75	Webster Financial Corp
PUR	03-02-01	257130	200.000	28.625	5,725.00				200	5,725.00	Webster Financial Corp
PUR	03-02-01	257131	400.000	28.563	11,425.00				400	11,425.00	Webster Financial Corp
PUR	03-02-01	257187	100.000	28.688	2,862.76				0	0.00	Webster Financial Corp
PUR	03-02-01	257188	100.000	28.750	2,862.00				100	2,862.00	Webster Financial Corp
PUR	03-02-01	257189	100.000	28.750	2,862.00				100	2,862.00	Webster Financial Corp
PUR	03-02-01	257190	100.000	28.688	2,866.75				0	0.00	Webster Financial Corp
PUR	03-02-01	257191	200.000	28.625	5,725.00				200	5,725.00	Webster Financial Corp
PUR	05-03-01	266448	100.000	28.688	2,868.75				100	2,868.75	To corr. Webster Fin. purchase
PUR	05-03-01	266449	100.000	28.688	2,868.75				100	2,868.75	To corr. Webster Fin. purchase
PUR	05-03-01	266450	100.000	28.750	2,875.00				100	2,875.00	To corr. Webster Fin. purchase
PUR	05-03-01	266451	100.000	28.750	2,875.00				100	2,875.00	To corr. Webster Fin. purchase
SAL	05-03-01	266444	-100.000	28.625		2,862.50	-2,862.50	0.00			To corr. Webster Fin. purchase
SAL	05-03-01	266445	-100.000	28.628		2,862.75	-2,862.75	0.00			To corr. Webster Fin. purchase
SAL	05-03-01	266446	-100.000	28.568		2,856.75	-2,866.75	0.00			To corr. Webster Fin. purchase
SAL	05-03-01	266447	-100.000	28.625		2,862.50	-2,862.50	0.00			To corr. Webster Fin. purchase
	TOTAL -		10,900.000		324,962.25	11,444.50	-11,444.50	0.00	10,900	313,517.75	

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FC3.3                                                      PURCHASE / SALE DETAIL HISTORY REPORT
                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                     REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY      COST BASIS  DESCRIPTION
----- -------- ----------         ------------- ----------- ------------- ------------- --------------- -------------  ------------- -------------- ------------
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST         PRICE  DATE          MARKET VALUE  UNREALIZED G/L
      PCM    WBST       Webster Financial Corp DV            10,900.000 SHRS      28.763      313,517.75        31.530  12-31-01        343,677.00       30,159.25

PCM    WEN       Wendys International Inc
PUR  06-29-01      271119             9,300.000      25.689    238,905.84                                                          9,300     238,905.84 Wendys International Inc
                                   -------------             ------------- ------------- --------------- -------------  ------------- --------------
      TOTAL -                         9,300.000                238,905.84          0.00            0.00          0.00          9,300     238,905.84

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST         PRICE  DATE          MARKET VALUE  UNREALIZED G/L
      PCM    WEN        Wendys International Inc              9,300.000 SHRS      25.689      238,905.84        29.170  12-31-01        271,281.00       32,375.16

PCM    WMK       Weis Markets Inc
PUR  05-11-01      266442             5,200.000      33.256    172,926.52                                                          5,200     172,926.52 Weis Markets Inc
PUR  05-14-01      266443             5,000.000      33.260    166,300.00                                                          5,000     166,300.00 Weis Markets Inc
                                   -------------             ------------- ------------- --------------- -------------  ------------- --------------
      TOTAL -                        10,200.000                339,226.52          0.00            0.00          0.00         10,200     339,226.52

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST         PRICE  DATE          MARKET VALUE  UNREALIZED G/L
      PCM    WMK        Weis Markets Inc                     10,200.000 SHRS      33.258      339,226.52        27.960  12-31-01        285,192.00      -54,034.52

PCM    WPO       Washington Post Class B
PUR  06-29-01      267523               400.000     587.768    235,107.00                                                            400     235,107.00 Washington Post Co CL B
PUR  06-14-01      269762               400.000     569.960    227,984.00                                                            400     227,984.00 Washington Post Co CL B
                                   -------------             ------------- ------------- --------------- -------------  ------------- --------------
      TOTAL -                           800.000                463,091.00          0.00            0.00          0.00            800     463,091.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST         PRICE  DATE          MARKET VALUE  UNREALIZED G/L
      PCM    WPO        Washington Post Class B                 800.000 SHRS     578.864      463,091.00       530.000  12-31-01        424,000.00      -39,091.00

PCM    WTNY      Whitney Holding Corp
M/A  04-19-01      263943             1,000.000      39.860     39,860.00                                                          1,000      39,860.00 Whitney Holding Corp
PUR  04-19-01      263944               600.000      39.180     23,508.00                                                            600      23,508.00 Whitney Holding Corp
PUR  04-19-01      263945               500.000      39.860     19,930.00                                                            500      19,930.00 Whitney Holding Corp
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FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	04-19-01	263946	400.000	39.960	15,984.00				400	15,984.00	Whitney Holding Corp
PUR	04-19-01	263947	1,000.000	39.180	39,180.00				1,000	39,180.00	Whitney Holding Corp
PUR	04-19-01	263948	2,000.000	39.260	78,520.00				2,000	78,520.00	Whitney Holding Corp
	TOTAL -		5,500.000		216,982.00	0.00	0.00	0.00	5,500	216,982.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
FCM	WTNY	Whitney Holding Corp	8,250.000	SHRS	26.301	216,982.00	41.350	12-31-01	341,175.00	124,193.00

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	240,987,023.36	137,777,968.00	-137,839,194.89	-61,226.89	8,324,288	80,129,708.71

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                                                                          Market Street Trust Company
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FC3.1                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV

ENTITY INVESTMENT DESCRIPTION                                                                                         REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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LAZARD ANN4327C12 Hunter Douglas NV
PUR   08-08-01     275496            12,400.000     26.250    325,496.47                                                 12,400    325,496.47  Hunter Douglas NV
                                   ------------             ------------  ------------ -------------- ------------  -----------  ------------
      TOTAL -                        12,400.000               325,496.47          0.00           0.00         0.00       12,400    325,496.47

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD ANN4327C12 Hunter Douglas NV                12,400.000 SHRS       26.250     325,496.47     26.828  12-31-01     332,667.20         7,170.73

LAZARD BE3793107  Interbrew
PUR   08-03-01     275450            10,100.000     26.427    266,917.05                                                 10,100    266,917.06  Interbrew
PUR   10-18-01     282276             3,100.000     24.880     77,129.15                                                  3,100     77,129.16  Interbrew
                                   ------------             ------------  ------------ -------------- ------------  -----------  ------------
      TOTAL -                        13,200.000               344,046.20          0.00           0.00         0.00       13,200    344,046.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD BE3793107  Interbrew                        13,200.000 SHRS       26.064     344,046.20     27.380  12-31-01     361,416.00        17,369.80

LAZARD CH001A     Zurich Financial Services AG
PUR   08-03-01     275482               950.000    327.577    311,198.60                                                      0          0.00  Zurich Finacial Services AG
SAL   08-29-01     276758              -310.000    299.894                   92,967.04    -101,649.02    -8,681.98                              Zurich Financial Services AG
SAL   09-20-01     279040              -100.000    212.845                   21,284.50     -32,757.76   -11,473.25                              Zurich Financial Services
SAL   09-20-01     279041              -100.000    209.170                   20,916.95     -32,757.75   -11,840.80                              Zurich Financial Services
SAL   09-20-01     279042              -100.000    201.647                   20,164.68     -32,757.75   -12,593.07                              Zurich Financial Services
SAL   09-25-01     279043              -340.000    173.102                   58,854.59    -111,376.33   -52,521.74                              Zurich Financial Services
                                   ------------             ------------  ------------ -------------- ------------  -----------  ------------
      TOTAL -                             0.000               311,198.60    214,187.76    -311,198.60   -97,010.84            0          0.00

LAZARD CH12005267 Novartis AG
PUR   09-20-01     279023             1,300.000     37.562     48,830.61                                                  1,300     48,830.61  Novartis AG
PUR   09-20-01     279024               800.000     37.486     29,988.46                                                    800     29,988.46  Novartis AG
PUR   09-20-01     279025             1,700.000     36.840     62,627.75                                                  1,700     62,627.75  Novartis AG
PUR   09-24-01     279027               400.000     36.631     14,652.38                                                    400     14,652.38  Novartis AG
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04-23-02
FC1.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	09-25-01	279028	100.000	37.228	3,722.80				100	3,722.80	Novartis AG
PUR	09-25-01	279012	1,000.000	34.321	34,321.18				1,000	34,321.38	Novartis AG
PUR	09-25-01	279035	1,800.000	36.718	66,092.87				1,800	66,092.87	Novartis AG
PUR	09-25-01	279038	100.000	35.522	3,552.24				100	3,552.24	Novartis AG
PUR	10-18-01	282258	2,300.000	39.035	89,780.16				2,300	89,780.16	Novartis AG
PUR	11-05-01	284655	400.000	38.528	15,411.00				400	15,411.00	Novartis AG
PUR	11-05-01	284656	500.000	38.279	19,139.43				500	19,139.43	Novartis AG
PUR	11-06-01	284657	700.000	38.494	26,945.86				700	26,945.86	Novartis AG
PUR	11-07-01	284993	100.000	37.811	3,781.11				100	3,781.11	Novartis AG
PUR	11-08-01	284992	1,000.000	38.702	38,702.33				1,000	38,702.33	Novartis AG
PUR	12-11-01	289607	1,600.000	34.762	55,618.83				1,600	55,618.83	Novartis AG
	TOTAL -		13,800.000		513,247.21	0.00	0.00	0.00	13,800	513,247.21	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
LAZARD CH12005267 Novartis AG	13,800.000 SHRS	37.192	513,247.21	35.650	12-31-01	491,970.00	-21,277.21

LAZARD CH12032030 UBS AG-Registered

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	11-02-01	284653	6,100.000	47.742	291,229.23				6,100	291,229.23	UBS AG Registered
PUR	11-05-01	284654	500.000	48.481	24,240.67				500	24,240.67	UBS AG Registered
PUR	11-05-01	284658	700.000	49.166	34,416.52				700	34,416.52	UBS AG Registered
PUR	12-11-01	288747	1,000.000	52.720	52,720.25				1,000	52,720.25	UBS AG
	TOTAL -		8,300.000		402,614.67	0.00	0.00	0.00	8,300	402,614.67	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
LAZARD CH12032030 UBS AG-Registered	8,300.000 SHRS	48.508	402,614.67	50.474	12-31-01	418,934.20	16,319.53

LAZARD CH2367737 Bank Sarasin & CIE-REG B

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	08-01-01	275480	86.000	2,559.707	220,134.82				86	220,134.[illegible]	Bank Sarasin &CIE-Reg B
PUR	08-29-01	276757	43.000	2,102.363	90,401.59				43	90,401.59	Bank Sarasin & CIE-REG
PUR	10-18-01	282257	39.000	1,902.949	74,215.01				39	74,215.01	Bank Sarasin & CIE-Reg B
	TOTAL -		168.000		384,751.42	0.00	0.00	0.00	168	384,751.42	

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                                                                 Market Street Trust Company
04-23-02                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                      PAGE 3
FO3.3                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                              REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE         COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      LAZARD CH2207737  Bank Sarasin & CIE-REG B         144.000 SHRS     2,245.267    323,318.45  1,922.323  12-31-01    322,950.26        -368.19

LAZARD CH3504856  Kuoni Reisen Holding-Reg (CATB
PUR   08-03-01      275481         670.000   265.761    171,359.76                                                    0          0.00  Kuoni Reisen Holding-Reg
SAL   08-30-01      276760        -670.000   257.211                  172,331.39     -171,359.76        971.63                         Kuoni Reisen Holding-REG
                                ------------            ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                        0.000              171,359.76    172,331.39     -171,359.76        971.63             0          0.00

LAZARD DE7236101  Siemens AG
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE         COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      LAZARD DE7236101  Siemens AG                      3,600.000 SHRS        71.838    257,816.09                                        -257,816.09

LAZARD ELN         Elan PLC A/D/R
PUR   08-02-01      275434       6,800.000    56.346    383,321.44                                                    0          0.00  Elan PLC @56.3468
PUR   10-18-01      282250       2,100.000    49.457    103,859.91                                                    0          0.00  Elan PLC A/D/R
SAL   11-02-01      284649      -1,100.000    46.317                   50,881.22      -62,007.88    -11,126.66                         Elan PLC A/D/R
SAL   11-02-01      285104        -200.000    46.090                    9,208.59       -9,891.42       -682.83                         Elan PLC A/D/R @46.0898
SAL   11-05-01      284647        -600.000    46.381                   27,791.79      -33,822.48     -6,030.69                         Elan PLC A/D/R
SAL   11-06-01      284648        -900.000    45.847                   41,207.01      -50,733.72     -9,526.71                         Elan PLC A/D/R
SAL   11-07-01      284650        -500.000    44.967                   22,452.70      -28,185.40     -5,732.70                         Elan PLC A/D/R
SAL   11-08-01      284987        -300.000    43.836                   13,144.06      -16,911.24     -3,767.18                         Elan PLC A/D/R @43.815
SAL   11-09-01      284988      -3,200.000    43.096                  137,710.92     -180,386.56    -42,675.64                         Elan PLC A/D/R @43.096
SAL   11-12-01      284989      -1,400.000    42.903                   59,977.63      -70,622.68    -10,645.05                         Elan PLC A/D/R @42.9026
SAL   11-13-01      284990        -700.000    42.126                   29,444.93      -34,619.97     -5,175.04                         Elan PLC A/D/R @42.1256
                                ------------            ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                        0.000              487,181.35    391,815.85     -487,181.35    -95,365.50             0          0.00

LAZARD ES0177040O Tabacalera SA
PUR   08-03-01      275495      11,500.000    15.036    172,899.05                                                    0          0.00  Tabacalera SA
PUR   08-16-01      276537       5,900.000    15.755     92,952.65                                                    0          0.00  Tabacalera SA
CNVTR 11-01-01      285075     -17,400.000    16.509                  265,851.70     -265,851.70          0.00                         Tabacalera ID change - Altadis
                                ------------            ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                        0.000              265,851.70    265,851.70     -265,851.70          0.00             0          0.00
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                                                                                 Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 4
FC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                           REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS      QUANTITY   COST BASIS  DESCRIPTION
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LAZARD E817543823 Prosegur Comp Seguridad-RegD
PUR   08-08-01    275498         22,800.000     12.017    273,987.31                                                   19,000   228,322.76  Prosegur CIA
SAL   10-11-01    281733         -3,800.000     12.754                   48,464.54      -45,664.55      2,799.99                            Prosegur Comp Seguridad-RegD
                              -------------             ------------  ------------  --------------  ------------   -----------  -----------
      TOTAL -                    19,000.000               273,987.31     48,464.54      -45,664.55      2,799.99       19,000   228,322.76

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD E817543823 Prosegur Comp Seguridad-RegD   19,000.000 SHRS     12.017     228,322.76     13.315  12-31-01     252,985.00        24,662.24

LAZARD E817704001 Altadis SA
PUR   10-18-01    282281          5,400.000     16.863     91,061.08                                                    5,400    91,061.08  Altadis
CNVTO 11-01-01    285075.1       11,500.000     15.035    172,899.05                                                   11,500   172,899.05  Tabacalera ID change - Altadis
CNVTO 11-01-01    285075.2        5,900.000     15.756     92,952.65                                                    5,900    92,952.65  Tabacalera ID change - Altadis
                              -------------             ------------  ------------  --------------  ------------   -----------  -----------
      TOTAL -                    22,800.000               356,912.78          0.00            0.00          0.00       22,800   356,912.78

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD E817704001 Altadis SA                     22,800.000 SHRS     15.654     356,912.78     16.880  12-31-01     384,864.00        27,951.22

LAZARD FMX        Fomento Economico Mexicano S A
PUR   08-02-01    275435          6,100.000     40.398    246,577.25                                                    6,100   246,577.25  Fomento Economico Mexicano S A
PUR   10-18-01    282251          1,900.000     30.023     57,042.94                                                    1,900    57,042.94  Fomento Economico Mexicano
                              -------------             ------------  ------------  --------------  ------------   -----------  -----------
      TOTAL -                     8,000.000               303,620.19          0.00            0.00          0.00        8,000   303,620.19

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD FMX        Fomento Economico Mexicano S A  8,000.000 SHRS     37.953     303,620.19     34.550  12-31-01     276,400.00       -27,220.19

LAZARD FR.127771  Vivendi Universal
PUR   10-09-01    281331          4,800.000     44.582    213,992.96                                                    4,800   213,992.96  Vivendi Universal
PUR   10-11-01    281729          1,000.000     47.698     47,697.85                                                    1,000    47,697.85  Vivendi Universal
PUR   10-18-01    282268          1,800.000     47.788     86,018.35                                                    1,800    86,018.35  Vivendi Universal
                              -------------             ------------  ------------  --------------  ------------   -----------  -----------
      TOTAL -                     7,600.000               347,709.16          0.00            0.00          0.00        7,600   347,709.16
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                                                                              Market Street Trust Company
04-23-02                                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                                   PAGE 5
FC1.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY        PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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LAZARD FR120198   Alstom S.A.
PUR   08-03-01     275406         7,500.000       28.635    214,764.28                                                      0          0.00  Alstom S.A.
SAL   09-27-01     279307        -7,203.000       17.227                  124,083.55     -206,259.61    -82,176.06                             Alstom SA
SAL   09-28-01     279309          -297.000       16.991                    5,046.34       -8,504.67     -3,458.33                             Alstom SA
                               ------------               ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000                 214,764.28    129,129.89     -214,764.28    -85,634.39           0          0.00

LAZARD FR120271   Total Fina Elf SA-B
PUR   08-03-01     275485         3,100.000      141.660    439,147.05                                                  2,800    396,648.96  Total Fina Elf SA-B
SAL   08-15-01     275966          -300.000      147.217                   44,165.04      -42,498.10      1,666.94                             Fina Elf SA-B
PUR   10-18-01     282271           900.000      140.526    126,473.72                                                    900    126,473.72  Total Fina Elf SA-B
                               ------------               ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                     3,700.000                 565,620.78     44,165.04      -42,498.10      1,666.94       3,700    523,122.68

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE            COST       PRICE    DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD FR120271   Total Fina Elf SA-B         2,900.000 SHRS       141.308      409,794.41     142.820  12-31-01       528,434.00       118,639.59

LAZARD FR120628   AXA-UAP
PUR   12-18-01     288746        13,200.000       22.254    293,759.15                                                 13,200    293,759.15  AXA-UAP
PUR   12-20-01     288726         4,500.000       20.572     92,572.52                                                  4,500     92,572.52  AXA-UAP
                               ------------               ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    17,700.000                 386,331.67          0.00            0.00          0.00      17,700    386,331.67

LAZARD FR120966   BIC S A
PUR   08-03-01     275483         6,400.000       39.721    254,215.37                                                  5,500    218,466.33  Societe BIC S A
SAL   10-15-01     281732          -900.000       31.385                   28,246.19      -35,749.04     -7,502.85                             BIC S A
PUR   10-18-01     282267         1,700.000       31.930     54,280.42                                                  1,700     54,280.42  BIC S A
                               ------------               ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                     7,200.000                 308,495.79     28,246.19      -35,749.04     -7,502.85       7,200    272,746.75

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE            COST       PRICE    DATE       MARKET VALUE   UNREALIZED G/L
      LAZARD FR120966   BIC S A                     7,200.000 SHRS        37.881      272,746.75      34.156  12-31-01       245,923.20       -26,823.55

LAZARD FR121081   Havas Advertising SA
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04-23-02                                                            Market Street Trust Company                                                                          PAGE 6
FC3.3                                                          PURCHASE / SALE DETAIL HISTORY REPORT
                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
----  -------- ----------     ------------- ---------- ------------- ------------- --------------- -------------  ----------  ------------  -----------
PUR   10-11-01    261728         27,800.000      7.222    200,772.49                                                  27,800    200,772.49  Havas Advertising SA
PUR   10-18-01    282280          8,600.000      6.657     57,260.08                                                   8,600     57,260.08  Havas Advertising SA
                              -------------            ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                    36,400.000               258,022.57          0.00            0.00          0.00      36,400    258,022.57

LAZARD FR130007   Alcatel Alsthom C G E
PUR   08-03-01    275487         10,700.000     18.792    201,077.28                                                  10,700    201,077.28  Alcatel Alsthom C G E
PUR   08-29-01    276754          1,900.000     16.595     31,530.83                                                   1,900     31,530.83  Alcatel Alsthom C G E
PUR   09-20-01    279017          1,800.000     12.449     22,407.67                                                   1,800     22,407.67  Alcatel Alsthom C G E
PUR   09-20-01    279018          2,900.000     12.215     35,422.81                                                   2,900     35,422.81  Alcatel Alsthom C G E
PUR   09-20-01    279019          1,000.000     11.894     11,893.79                                                   1,000     11,893.79  Alcatel Alsthom C G E
PUR   09-20-01    279020          3,500.000     12.639     44,235.76                                                   3,500     44,235.76  Alcatel Alsthom C G E
PUR   10-18-01    282269          6,700.000     14.260     95,540.81                                                   6,700     95,540.81  Alcatel Alsthom C G E
                              -------------            ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                    28,500.000               442,108.95          0.00            0.00          0.00      28,500    442,108.95

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      LAZARD FR130007   Alcatel Alsthom C G E       28,500.000 SHRS       15.513     442,108.95     16.968 12-31-01    483,588.00       41,479.05

LAZARD FR130460   Aventis SA
PUR   08-03-01    275484          5,000.000     76.452    382,261.68                                                   5,000    382,261.68  Aventis SA
PUR   10-18-01    282270          1,500.000     75.578    113,366.94                                                   1,500    113,366.94  Aventis SA
                              -------------            ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                     6,500.000               495,628.62          0.00            0.00          0.00       6,500    495,628.62

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      LAZARD FR130460   Aventis SA                   6,500.000 SHRS       76.252     495,628.62     69.662 12-31-01    452,803.00      -42,825.62

LAZARD GB2374006   Diageo PLC
PUR   08-06-01    275504         36,000.000     10.472    376,982.42                                                  27,000    282,736.81  Diageo PLC
SAL   10-10-01    281347         -9,000.000      9.277                   83,493.99      -94,245.61    -10,751.62                            Diageo PLC
                              -------------            ------------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                    27,000.000               376,982.42     83,493.99      -94,245.61    -10,751.62      27,000    282,736.81
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04-23-02                                                  Market Street Trust Company                                                            PAGE 7
FC3.3                                                   PURCHASE / SALE DETAIL HISTORY REPORT
                                                        BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM      AVERAGE          COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      LAZARD GB2374006  Diageo PLC                              27,000.000 SHRS      10.472    282,736.81    10.934 12-31-01    295,218.00      12,481.19

LAZARD GB2747532  Amersham PLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM      AVERAGE          COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      LAZARD GB2747532  Amersham PLC                            25,200.000 SHRS       9.677    243,849.72                                         -243,849.72

LAZARD GB2944055  Man Group PLC
PUR   08-03-01     275503       21,900.000     13.128     287,508.45                                                  21,900   287,508.45 Man Group PLC
PUR   10-18-01     282261        6,700.000     14.703      98,510.07                                                   6,700    98,510.07 Man Group PLC
                              ---------------            ------------ ------------- --------------- ------------ ----------- -----------
      TOTAL -                   28,600.000                386,018.52          0.00            0.00         0.00      28,600   386,018.52

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM      AVERAGE          COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      LAZARD GB2944058  Man Group PLC                           28,600.000 SHRS      13.497    386,018.52    17.334 12-31-01    495,752.40     109,733.88

LAZARD GB30888548 Singer & Freidlander Group PLC
CNVTO 10-09-01     281356.1     47,917.000      4.443     212,875.42                                                  47,917   212,875.42 Singer & Friedlander exchange
CNVTO 10-09-01     281356.2     11,583.000      4.755      55,073.35                                                  11,583    55,073.35 Singer & Friedlander exchange
PUR   10-19-01     282259       18,200.000      2.922      53,188.64                                                  18,200    53,188.64 Singer & Friedlander Group PLC
                              ---------------            ------------ ------------- --------------- ------------ ----------- -----------
      TOTAL -                   77,700.000                321,137.41          0.00            0.00         0.00      77,700   321,137.41

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM      AVERAGE          COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
      LAZARD GB30888548 Singer & Freidlander Group PLC          77,700.000 SHRS       4.133    321,137.41     3.293 12-31-01    255,866.10     -65,271.31

LAZARD GB3430062  Cobham PLC
PUR   08-03-01     275506       16,000.000     17.244     275,904.82                                                  11,600   200,030.99 Cobham PLC
SAL   10-11-01     281734       -4,400.000     15.002                   66,010.30      -75,873.83    -9,863.53                         Cobham PLC
PUR   10-18-01     282262        3,600.000     15.273      54,983.19                                                   3,600    54,983.19 Cobham PLC
                              ---------------            ------------ ------------- --------------- ------------ ----------- -----------
      TOTAL -                   15,200.000                330,888.01     66,010.30      -75,873.83    -9,863.53      15,200   255,014.18
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04-23-02                                                                    Market Street Trust Company                                                        PAGE 8
PC3.3                                                                PURCHASE / SALE DETAIL HISTORY REPORT
                                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER              QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST    PRICE  DATE    MARKET VALUE  UNREALIZED G/L
      LAZARD GB3430062  Cobham PLC                          15,200.000 SHRS      16.777     255,014.18   15.658 12-31-01   238,001.60     -17,012.58

LAZARD GB3688503  Singer & Freidlander Group PLC
PUR   08-03-01    275502              57,500.000      3.702  212,873.94                                                          0         0.00 Singer & Freidlander Group
PUR   08-15-01    275967              13,900.000      3.962   55,074.83                                                          0         0.00 Singer & Friedlander Group PLC
CNVFR 10-09-01    281356             -71,400.000      3.096                267,949.77     -267,948.77          0.00                          Singer & Friedlander exchange
                                  --------------            ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                              0.000             267,948.77    267,948.77     -267,948.77          0.00           0         0.00

LAZARD GB4448736  EMI Group PLC
PUR   08-03-01    275499              55,100.000      6.239  343,783.76                                                          0         0.00 EMI Group PLC
SAL   10-09-01    281344             -18,800.000      3.531                 66,376.98     -117,298.27    -50,921.29                          EMI Group PLC
SAL   10-10-01    281346             -36,300.000      3.748                139,992.63     -226,485.49    -86,492.86                          EMI Group PLC
                                  --------------            ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                              0.000             343,783.76    202,369.61     -343,783.76   -141,414.15           0         0.00

LAZARD GB4544929  Imperial Tobacco Group PLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST    PRICE  DATE    MARKET VALUE  UNREALIZED G/L
      LAZARD GB4544929  Imperial Tobacco Group PLC          18,200.000 SHRS      13.226     240,705.34                                  -240,705.34

LAZARD GB5405286  HSBC Holdings PLC
PUR   08-03-01    275500              16,900.000     11.759  198,726.58                                                     16,900   198,726.58 HSBC Holdings PLC
PUR   10-11-01    281735               7,100.000     10.879   77,241.98                                                          0         0.00 HSBC Holdings PLC
PUR   10-18-01    282263               7,400.000     10.762   79,637.97                                                      7,400    79,637.97 HSBC Holdings PLC
SAL   11-01-01    286491              -7,100.000     10.879                 77,241.98      -77,241.98          0.00                          To correct HSBC shares/Cost
PUR   11-09-01    284994               7,100.000     10.702   75,983.23                                                      7,100    75,983.23 HSBC Holdings
                                  --------------            ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                             31,400.000          431,589.76     77,241.98      -77,241.98          0.00      31,400   354,347.78

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST    PRICE  DATE    MARKET VALUE  UNREALIZED G/L
      LAZARD GB5405286  HSBC Holdings PLC                   31,400.000 SHRS      11.285     354,347.78   11.702 12-31-01   367,442.80      13,095.02

LAZARD GB6107006  Cadbury Schweppes
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                                                                                   Market Street Trust Company
04-23-02                                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                           PAGE 9
FC3.3                                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                             REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS      QUANTITY    COST BASIS  DESCRIPTION
----  -------- ----------    -------------    --------  ------------  ------------- --------------- -------------  ------------  ------------  -----------
PUR   10-11-01     281736       33,200.000       6.275    208,317.67                                                    33,200    208,317.67  Cadbury Schweppes
PUR   10-18-01     282264       10,200.000       6.129     62,520.38                                                    10,200     62,520.38  Cadbury Schweppes PLC
                             -------------              ------------  ------------- --------------- -------------  ------------  ------------
      TOTAL -                   43,400.000                270,838.05           0.00            0.00          0.00        43,400    270,838.05

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      LAZARD GB6107006  Cadbury Schweppes             43,400.000 SHRS         6.241      270,838.05      6.375  12-31-01     276,675.00         5,836.95

LAZARD GB7192106  Vodafone Group
PUR   08-03-01     275501      119,700.000       2.230    266,927.64                                                         0          0.00  Vodafone Group
PUR   10-18-01     282265       36,700.000       2.349     86,223.94                                                         0          0.00  Vodafone Group
SAL   12-11-01     289608      -57,300.000       2.627                   150,520.98     -127,777.39     22,743.59                              Vodafone Group
SAL   12-11-01     289609      -99,100.000       2.586                   256,228.66     -225,374.19     30,854.47                              Vodafone Group
                             -------------              ------------  ------------- --------------- -------------  ------------  ------------
      TOTAL -                        0.000                353,151.58     406,749.64     -353,151.58     53,598.06             0          0.00

LAZARD GB7327124  Rentokil Initial PLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      LAZARD GB7327124  Rentokil Initial PLC          95,500.000 SHRS         3.794      362,279.57                                           -362,279.57

LAZARD GB7981128  SSL International PLC
PUR   08-03-01     275505       22,400.000       7.760    173,820.17                                                    22,400    173,820.17  SSL International PLC
PUR   10-18-01     282260        6,900.000       7.911     54,584.76                                                     6,900     54,584.76  SSL International PLC
                             -------------              ------------  ------------- --------------- -------------  ------------  ------------
      TOTAL -                   29,300.000                228,404.93           0.00            0.00          0.00        29,300    228,404.93

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      LAZARD GB7981128  SSL International PLC         29,300.000 SHRS         7.795      228,404.93      7.896  12-31-01     231,352.80         2,947.87

LAZARD GB9039941  Trinity Mirror PLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      LAZARD GB9039941  Trinity Mirror PLC            41,900.000 SHRS         5.912      247,699.57                                           -247,699.57
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                                                              Market Street Trust Company
04-23-02                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 10
PC3.3                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                        REMAINING    REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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LAZARD IE9420395  Waterford Wedgewood-Unit
PUR  08-08-01     275497       224,800.000     0.954   214,471.98                                                 224,800    214,471.98  Waterford Wedgewood-Unit
PUR  12-06-01     289611         2,133.000     0.526     1,121.91                                                   2,133      1,121.91  Reinvested Waterford dividend
                            --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                  226,933.000             215,593.89          0.00            0.00          0.00     226,933    215,593.89

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE          COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      LAZARD IE9420395  Waterford Wedgewood-Unit    226,933.000 SHRS       0.950    215,593.89     0.784  12-31-01      177,915.47      -37,678.42

LAZARD IT78193    Alleanza Assicurazioni
PUR  08-03-01     275488        26,900.000    11.265   303,026.63                                                  26,900    303,026.63  Alleanza Assicurazioni
PUR  10-18-01     282282         8,300.000    10.218    84,786.04                                                   8,300     84,786.04  Alleanza Assicurazioni
                            --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                   35,200.000             387,812.67          0.00            0.00          0.00      35,200    387,812.67

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE          COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      LAZARD IT78193    Alleanza Assicurazioni       35,200.000 SHRS      11.017    387,812.67    10.988  12-31-01      386,777.60       -1,035.07

LAZARD JP34030000 Sumitomo Mitsui Banking Corp
PUR  08-03-01     275508        31,000.000     7.614   236,040.86                                                       0          0.00  Sumitomo Mitsui Banking Corp
SAL  10-10-01     281132       -31,000.000     6.260                  194,069.04     -236,040.86    -41,971.82                             Sumitomo Mitsui Banking Corp
                            --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                        0.000             236,040.86    194,069.04     -236,040.86    -41,971.82           0          0.00

LAZARD JP34350000 Sony Corp
PUR  08-03-01     275510         5,200.000    52.271   271,811.05                                                   5,200    271,811.05  Sony Corp
                            --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    5,200.000             271,811.05          0.00            0.00          0.00       5,200    271,811.05

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE          COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      LAZARD JP34350000 Sony Corp                     5,200.000 SHRS      52.271    271,811.05    45.704  12-31-01      237,660.80      -34,150.25

LAZARD JP367      Nikko Securities
PUR  08-03-01     275509        46,000.000     6.916   318,147.27                                                  46,000    318,147.27  Nikko Securities
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FC3.3                                                           PURCHASE / SALE DETAIL HISTORY REPORT
                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY       PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY     COST BASIS DESCRIPTION
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     TOTAL -                    46,000.000              318,147.27          0.00           0.00          0.00      46,000    318,147.27

LAZARD JP36724     Nissan Motor Co LTD
PUR  08-03-01   275511          31,000.000     6.619    205,185.31                                                      0          0.00 Nissan Motor Co LTD
SAL  09-21-01   279013         -31,000.000     4.337                  134,446.03     -205,185.31    -70,739.28                          Nissan Motor Co LTD
                               -----------              ----------  ------------    ------------  ------------  ----------  ------------
     TOTAL -                         0.000              205,185.31    134,446.03     -205,185.31    -70,739.28           0          0.00

LAZARD JP3818      Fujitsu LTD
PUR  08-03-01   278807          21,000.000    10.235    214,926.30                                                      0          0.00 Fujitsu LTD
SAL  10-11-01   281737         -21,000.000     7.856                  164,969.46     -214,926.30    -49,956.84                          Fujitsu LTD
                               -----------              ----------  ------------    ------------  ------------  ----------  ------------
     TOTAL -                         0.000              214,926.30    164,969.46     -214,926.30    -49,956.84           0          0.00

LAZARD KTC         KT Corporation
PUR  08-02-01   275433          11,100.000    21.818    242,460.63                                                 11,100    242,460.63 Korea Telecom Corp 021.8183
PUR  10-18-01   282252           3,400.000    19.266     65,503.72                                                  3,400     65,503.72 Korea Telecom Corp
                               -----------              ----------  ------------    ------------  ------------  ----------  ------------
     TOTAL -                    14,500.000              307,964.35          0.00            0.00          0.00      14,500    307,964.35

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     LAZARD KTC       KT Corporation                14,500.000 SHRS        21.239    307,964.35     20.330  12-31-01      294,785.00      -13,179.35

LAZARD NL301109    ABN AMRO Holding NV
PUR  08-03-01   275494          18,300.000    17.879    327,177.22                                                 18,300    327,177.22 ABN Amro
PUR  10-18-01   282277           5,600.000    14.683     82,225.94                                                  5,600     82,225.94 ABN Amro Holding
                               -----------              ----------  ------------    ------------  ------------  ----------  ------------
     TOTAL -                    23,900.000              409,403.16          0.00            0.00          0.00      23,900    409,403.16

     CURRENT HOLDINGS
     ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     LAZARD NL301109  ABN AMRO Holding NV           23,900.000 SHRS        17.130    409,403.16     16.154  12-31-01      386,080.60      -23,322.56

LAZARD NL344265    CSM N V
PUR  08-03-01   275489          12,300.000    20.644    253,925.05                                                  9,200    189,927.68 CSM N V
PUR  08-29-01   276756           1,400.000    20.706     28,987.92                                                  1,400     28,987.92 CSM N V
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                                                  Market Street Trust Company
                                               PURCHASE / SALE DETAIL HISTORY REPORT
                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION
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SAL   10-11-01    281711      -3,100.000    20.129                     62,400.00     -63,997.37     -1,597.37                           CSM N V
PUR   10-18-01    282274       3,300.000    19.683     64,952.90                                                     3,300   64,952.90  CSM N V
                              ----------              ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                 13,900.000              347,865.87       62,400.00     -63,997.37     -1,597.37       13,900  283,868.50

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      LAZARD NL344265   CSM N V                  13,900.000 SHRS      20.422    283,868.50     20.746 12-31-01    288,369.40        4,500.90

LAZARD NL360884   IHC Caland N V
PUR   10-11-01    281730       3,800.000    48.781    185,367.87                                                     3,800  185,367.87  IHC Caland N V
PUR   10-18-01    282273       1,200.000    46.572     55,886.26                                                     1,200   55,886.26  IHC Caland N V
                              ----------              ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                  5,000.000              241,254.13            0.00           0.00          0.00        5,000  241,254.13

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      LAZARD NL360884   IHC Caland N V            5,000.000 SHRS      48.251    241,254.13     46.746 12-31-01    233,730.00       -7,524.13

LAZARD NL395887   Wolters Kluwer
PUR   08-01-01    275492      14,500.000    26.450    383,523.77                                                    14,500  383,523.77  Wolters Kluwer
PUR   08-29-01    276755       2,900.000    22.075     64,016.11                                                     2,900   64,016.11  Wolters Kluwer
PUR   10-18-01    282276       5,400.000    21.728    117,328.70                                                     5,400  117,328.70  Wolters Kluwer
                              ----------              ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                 22,800.000              564,868.58            0.00           0.00          0.00       22,800  564,868.58

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                 QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      LAZARD NL395887   Wolters Kluwer           22,800.000 SHRS      24.775    564,868.58     22.574 12-31-01    514,687.20      -50,181.38

LAZARD NL497949   Rights - ABN Amro Holdings
PUR   08-20-01    275965      18,300.000     0.000          0.00                                                         0        0.00  ABN Amro Holdings - Rights
SAL   09-12-01    278360     -18,300.000     0.000                          0.00           0.00          0.00                           RTS-ABN Amro optional dividend
                              ----------              ------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                      0.000                    0.00            0.00           0.00          0.00            0        0.00

LAZARD NL8536     Philips Electronics N.V.
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                                                                                   Market Street Trust Company
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FC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY    PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS     QUANTITY   COST BASIS  DESCRIPTION
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PUR   11-09-01     284640         9,100.000   26.451    240,701.94                                                     9,100   240,701.94  Philips Electronics N.V.
                               ------------             ------------  ------------- --------------- -------------  -----------  -----------
      TOTAL -                     9,100.000             240,701.94          0.00            0.00          0.00         9,100   240,701.94

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE          COST    PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      LAZARD NL9538     Philips Electronics N.V.     14,300.000 SHRS         28.423    406,451.08   29.628  12-31-01      269,614.80     -136,836.28

LAZARD NO10031479 Den Norske Bank ASA
PUR   08-03-01     276329        33,200.000    4.442    147,463.87                                                    33,200   147,463.87  Den Norske Bank ASA
PUR   08-15-01     275969        21,300.000    4.830    102,881.88                                                    21,300   102,881.88  Den Norske Bank ASA
PUR   10-18-01     282255        16,700.000    4.129     68,946.26                                                    16,700    68,946.26  Den Norske Bank ASA
                               ------------             ------------  ------------- --------------- -------------  -----------  -----------
      TOTAL -                    71,200.000             319,292.01          0.00            0.00          0.00        71,200   319,292.01

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE          COST    PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      LAZARD NO10031479 Den Norske Bank ASA          71,200.000 SHRS          4.484    319,292.01    4.504  12-31-01      320,684.80        1,392.79

LAZARD NO3733800  Orkla ASA
PUR   08-03-01     275612        11,600.000   18.745    217,440.96                                                    11,600   217,440.96  Orkla ASA
PUR   08-15-01     275968         2,700.000   19.153     51,711.84                                                     2,700    51,711.84  ORKLA ASA
PUR   10-18-01     282256         4,400.000   16.910     74,403.83                                                     4,400    74,403.83  Orkla ASA
                               ------------             ------------  ------------- --------------- -------------  -----------  -----------
      TOTAL -                    18,700.000             343,556.63          0.00            0.00          0.00        18,700   343,556.63

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE          COST    PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      LAZARD NO3733800  Orkla ASA                    18,700.000 SHRS         18.372    343,556.63   16.947  12-31-01      316,908.90      -26,647.73

LAZARD Pierpont   J.P. Morgan Funds
PUR   08-01-01     275422     6,010,059.260    1.000  6,010,059.26                                                         0         0.00  Tfr of MM funds fm MSTBTC
PUR   08-01-01     275429     4,009,900.000    1.000  4,009,900.00                                                         0         0.00  Federal MM Sweep Fund
SAL   08-08-01     275430    -7,743,343.800    1.000                7,743,343.80   -7,743,343.80          0.00                              Federal MM Sweep Fund
SAL   08-09-01     275431      -702,693.180    1.000                  702,693.18     -702,693.18          0.00                              Federal MM Sweep Fund
SAL   08-10-01     275432      -266,917.050    1.000                  266,917.05     -266,917.05          0.00                              Federal MM Sweep Fund
SAL   08-13-01     275603      -813,955.760    1.000                  813,955.76     -813,955.76          0.00                              Federal MM Sweep Fund
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY	INVESTMENT	DESCRIPTION							REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
SAL	08-20-01	275940	-190,402.020	1.000		190,402.02	-190,402.02	0.00			Federal MM Sweep Fund
SAL	08-21-01	275943	-92,952.650	1.000		92,952.66	-92,952.65	0.00			Federal MM Sweep Fund
PUR	09-04-01	278257	50,341.980	1.000	50,341.98				0	0.00	Federal MM Sweep fund
PUR	09-05-01	278258	2,689,500.000	1.000	2,689,500.00				0	0.00	Federal MM Sweep fund
SAL	09-20-01	278359	-600.000	1.000		600.00	-600.00	0.00			JPM Federal MM Sweep Fund
SAL	09-24-01	279010	-181,146.930	1.000		181,146.93	-181,146.93	0.00			JPM Federal MM Sweep Fund
PUR	09-25-01	279009	122,552.240	1.000	122,552.24				0	0.00	JPM Federal MM Sweep Fund
SAL	09-26-01	279011	-14,652.380	1.000		14,652.38	-14,652.38	0.00			JPM Federal MM Sweep Fund
SAL	09-27-01	279012	-48,834.700	1.000		48,834.70	-48,834.70	0.00			JPM Federal MM Sweep Fund
PUR	10-03-01	281313	203,679.890	1.000	203,679.89				0	0.00	JPM Federal MM Sweep Fund
SAL	10-12-01	281319	-147,615.980	1.000		147,615.98	-147,615.98	0.00			JPM Federal MM Sweep Fund
PUR	10-15-01	281317	413,589.660	1.000	413,589.66				0	0.00	JPM Federal MM Sweep Fund
PUR	10-16-01	281725	327,830.450	1.000	327,830.45				0	0.00	JPM Federal MM Sweep Fund
SAL	10-17-01	281726	-564,825.530	1.000		564,825.53	-564,825.53	0.00			JPM Federal MM Sweep Fund
SAL	10-18-01	281727	-6,126.970	1.000		6,126.97	-6,126.97	0.00			JPM Federal MM Sweep Fund
PUR	10-22-01	282249	113.270	1.000	113.27				0	0.00	JPM Federal MM Sweep Fund
SAL	10-23-01	282993	-1,385,895.600	1.000		1,385,895.60	-1,385,895.60	0.00			JPM Federal MM Sweep Fund
SAL	10-24-01	283283	-803,151.050	1.000		803,151.05	-803,151.05	0.00			JPM Federal MM Sweep Fund
SAL	10-29-01	283575	-18,963.530	1.000		18,963.53	-18,963.53	0.00			JPM Federal MM Sweep Fund
PUR	11-02-01	284643	50,000.000	1.000	50,000.00				0	0.00	JPM Federal MM Sweep Fund
PUR	11-08-01	284644	27,791.790	1.000	27,791.79				0	0.00	JPM Federal MM Sweep Fund
SAL	11-09-01	284645	-370,175.700	1.000		370,175.70	-370,175.70	0.00			JPM Federal MM Sweep Fund
SAL	11-13-01	284646	-240,701.940	1.000		240,701.94	-240,701.94	0.00			JPM Federal MM Sweep Fund
PUR	11-14-01	284984	34,551.590	1.000	34,551.59				7,002	7,002.48	JPM Federal MM Sweep Fund
PUR	11-15-01	284985	73,121.690	1.000	73,121.69				73,122	73,121.69	JPM Federal MM Sweep Fund
PUR	11-16-01	284986	91,172.620	1.000	91,172.62				91,173	91,172.62	JPM Federal MM Sweep Fund
SAL	11-20-01	284991	-3,781.110	1.000		3,781.11	-3,781.11	0.00			JPM Federal MM Sweep Fund
PUR	11-27-01	285303	9,208.590	1.000	9,208.59				9,208	9,208.59	JPM Federal MM Sweep Fund
SAL	12-14-01	287787	-198,857.000	1.000		198,857.00	-198,857.00	0.00			JPM Federal MM Sweep Fund
PUR	12-17-01	287786	256,228.660	1.000	256,228.66				256,229	256,228.66	JPM Federal MM Sweep Fund
SAL	12-18-01	287788	-82,728.250	1.000		82,728.25	-82,728.25	0.00			JPM Federal MM Sweep Fund
SAL	12-27-01	288659	-92,572.520	1.000		92,572.52	-92,572.52	0.00			JPM Federal MM Sweep Fund
	TOTAL -		436,731.040		14,377,624.69	13,940,893.65	-13,940,893.65	0.00	436,731	436,731.04	

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                                                                           Market Street Trust Company
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FC1.3                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING   REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     LAZARD Pierpont  J.P. Morgan Funds                     528,303.280 UNTS        1.000     528,303.28     1.000 12-31-01     436,731.04      -91,572.24

LAZARD SG1LS10018 Oversea-Chinese Banking Corp
PUR  06-03-01     275814          32,000.000      5.982   191,423.69                                                26,000    155,531.75 Oversea-Chinese Banking Corp
PUR  08-15-01     275970           4,000.000      6.225    24,898.51                                                 4,000     24,898.51 Oversea-Chinese Banking Corp
SAL  10-11-01     281738          -6,000.000      5.742                  34,450.69     -35,891.94     -1,441.25                          Oversea-Chinese Banking Corp
PUR  10-18-01     282254          10,000.000      5.935    59,345.48                                                10,000     59,345.48 Oversea-Chinese Banking Corp
                                ----------------          ------------ -------------- --------------- -------------  ----------  ------------
     TOTAL -                      40,000.000              275,667.68     34,450.69     -35,891.94     -1,441.25     40,000    239,775.74

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     LAZARD SG1LS10018 Oversea-Chinese Banking Corp          40,000.000 SHRS        5.994     239,775.74     5.957 12-31-01     238,280.00       -1,495.74

MS    4063       Shin-Etsu Chemical Co LTD
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     MS     4063       Shin-Etsu Chemical Co LTD              7,000.000 SHRS       50.757     355,300.00    35.937 12-31-01     251,559.00     -103,741.00

MS    6752       Matsushita Elec Industrial
PUR  01-23-01     249708           5,000.000     23.330   116,650.00                                                     0          0.00 Matsushite Elec @23.33
SAL  05-28-01     268365         -20,000.000     18.890                 377,800.00    -516,660.00   -138,860.00                          Matshushita Electric Indust.
                                ----------------          ------------ -------------- --------------- -------------  ----------  ------------
     TOTAL -                     -15,000.000              116,650.00    377,800.00    -516,660.00   -138,860.00          0          0.00

MS    6954       FANUC Co LTD
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
     MS     6954       FANUC Co LTD                           3,900.000 SHRS      107.822     420,507.00    42.576 12-31-01     166,046.40     -254,460.60

MS    7751       Canon Inc
PUR  06-14-01     270277           9,000.000     39.310   353,790.00                                                 9,000    353,790.00 Canon Inc @39.31
                                ----------------          ------------ -------------- --------------- -------------  ----------  ------------
     TOTAL -                       9,000.000              353,790.00          0.00           0.00          0.00      9,000    353,790.00
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04-23-02                                                    Market Street Trust Company
PC3.3                                                  PURCHASE / SALE DETAIL HISTORY REPORT
                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
----  -------- ----------        ------------  ---------  ----------  -------------  -------------  ------------  ----------  ----------  -----------
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     7751      Canon Inc                       9,000.000 SHRS       39.310    353,790.00    34.412  12-31-01    309,708.00      -44,082.00

MS    9432      Nippon Telegraph and Phone
SAL   09-10-01    278368           -31.000   4,078.947               126,447.35    -384,360.88   -257,913.53                            Nippon Telegraph and Phone
                                 ------------             ----------  -------------  -------------  ------------  ----------  ----------
      TOTAL -                      -31.000                     0.00  126,447.35    -384,360.88   -257,913.53           0        0.00

MS    AASIF     Alleanza Assicurazio NI SPA
PUR   01-23-01    249700          7,453.000     15.400   114,776.20                                                  7,453  114,776.20  Alleanza Assicurazio NI SPA
                                 ------------             ----------  -------------  -------------  ------------  ----------  ----------
      TOTAL -                     7,453.000              114,776.20        0.00          0.00          0.00       7,453  114,776.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     AASIF     Alleanza Assicurazio NI SPA    32,298.000 SHRS       14.759    476,693.32    10.963  12-31-01    354,090.42     -122,602.90

MS    AHOLDF    AHOLD (KON) NV ORDS
PUR   01-23-01    249711          3,740.000     30.690   114,780.60                                                  3,740  114,780.60  AHOLD (KON) NV ORDS @30.69
SAL   12-03-01    287489         -1,112.000     29.340                32,626.08     -31,669.76        956.32                            Koninklijke Ahold NV
                                 ------------             ----------  -------------  -------------  ------------  ----------  ----------
      TOTAL -                     2,628.000              114,780.60   32,626.08     -31,669.76        956.32       3,740  114,780.60

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     AHOLDF    AHOLD (KON) NV ORDS            22,775.000 SHRS       28.895    658,084.08    29.098  12-31-01    662,706.95        4,622.87

MS    ALA       Alcatel Alsthom
PUR   01-23-01    249533          3,730.000     62.375   232,658.75                                                      0        0.00  Alcatel Alsthom @62.375
PUR   01-26-01    252457          2,505.000     39.401    98,700.51                                                      0        0.00  Alcatel SA
SAL   09-07-01    278278         -7,960.000     12.768               101,633.38    -562,537.08   -460,903.70                            Alcatel Alsthom A/D/R
SAL   09-07-01    278278         -6,235.000     12.768                79,608.55    -331,359.26   -251,750.71                            Alcatel Alsthom A/D/R
                                 ------------             ----------  -------------  -------------  ------------  ----------  ----------
      TOTAL -                    -7,960.000              331,359.26  181,241.93    -893,896.34   -712,654.41           0        0.00

MS    ASML      ASM Lithography Holdings NV
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04-23-02                                                              Market Street Trust Company
FC3.3                                                            PURCHASE / SALE DETAIL HISTORY REPORT
                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION
----  -------- ----------     -------------  ---------  ------------  ------------ --------------- -------------  ----------  ----------- -----------
PUR   01-23-01     249528         8,385.000     27.813    233,207.81                                                      0         0.00 AML Lithography @27.8125
SAL   10-05-01     281218        -9,965.000     12.135                  120,921.24  -373,[illegible].06   -252,917.82                           ASM Lithography N.V.
SAL   10-05-01     281218        -8,385.000     12.135                  101,748.58     -233,207.81   -131,459.23                           ASM Lithography N.V.
                              -------------               ------------  ------------ --------------- -------------  ----------  -----------
      TOTAL -                    -9,966.000               233,207.81    222,669.82     -607,046.87   -384,377.05           0         0.00

MS     AVE        Aventis Sponsored A/D/R
PUR   01-23-01     249534         1,490.000     77.000    114,730.00                                                  1,490   114,730.00 Aventis @77.00
                              -------------               ------------  ------------ --------------- -------------  ----------  -----------
      TOTAL -                     1,490.000               114,730.00          0.00            0.00          0.00       1,490   114,730.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM       AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     AVE        Aventis Sponsored A/D/R   9,105.000 SHRS      74.742     680,523.52     71.000 12-31-01      646,455.00      -34,068.52

MS     AVNDF      VNU NV EURO.20
PUR   01-23-01     249707         2,158.000     53.140    114,676.12                                                  2,158   114,676.12 VNU NV EURO.20 @53.14
PUR   10-29-01     282989         3,135.000     29.906     93,755.31                                                  3,136    93,755.31 VNU NV Euro
                              -------------               ------------  ------------ --------------- -------------  ----------  -----------
      TOTAL -                     5,293.000               208,431.43          0.00            0.00          0.00       5,293   208,431.43

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM       AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     AVNDF      VNU NV EURO.20           15,441.000 SHRS      50.435     778,762.85     30.728 12-31-01      474,471.05     -304,291.80

MS     AVNDF-R    VNU NV-STK EURO.20 - Rights
PUR   04-24-01     265502         8,771.000      0.000          0.00                                                      0         0.00 VNU NV-STK DIV Rights
PUR   04-24-01     265503         1,377.000      0.000          0.00                                                      0         0.00 VNU NV-STK DIV Rights
PUR   04-24-01     265504         2,158.000      0.000          0.00                                                      0         0.00 VNU NV-STK DIV Rights
SAL   09-07-01     278280        -8,771.000      0.000                        0.00            0.00          0.00                           VNU N V Optional dividend
SAL   09-07-01     278280        -3,535.000      0.000                        0.00            0.00          0.00                           VNU N V Optional dividend
                              -------------               ------------  ------------ --------------- -------------  ----------  -----------
      TOTAL -                         0.000                     0.00          0.00            0.00          0.00           0         0.00

MS     AXAPF      AXA SA Eur9.15
PUR   01-23-01     249703           846.000    135.570    114,692.22                                                  3,384   114,692.22 AXA SA @135.57
PUR   03-01-01     256195           773.000    127.740     98,743.02                                                  3,092    98,743.02 AXA SA @127.74
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                                                                          Market Street Trust Company
04-23-02                                                           PURCHASE / SALE DETAIL HISTORY REPORT                                                                  PAGE 18
[redacted] 3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
----- -------- ----------       -------------  ---------- ------------- ------------- --------------- ------------- ----------- ------------- -----------
SPLDV 05-18-01     266716          15,972.000                      0.00                                                       0          0.00 AXA-UAP 4 for 1 stock split
                                -------------              ------------- ------------- --------------- ------------- ----------- -------------
    TOTAL -                        17,591.000                213,435.24          0.00            0.00          0.00       6,476    213,435.24

    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST     PRICE   DATE        MARKET VALUE   UNREALIZED G/L
    MS     AXAFF      AXA SA Eur9.15                    21,286.000 SHRS       36.506      777,434.94    20.898 12-31-01       445,043.81      -332,391.13

MS     BE3801181  Fortis Group
CNVTO 12-18-01   288749.1          10,800.000      30.640    330,912.00                                                  10,800    330,912.00 Fortis B exchange - Fortis Gp
CNVTO 12-18-01   288749.2           1,678.000      29.430     49,383.54                                                   1,678     49,383.54 Fortis B exchange - Fortis Gp
                                -------------              ------------- ------------- --------------- ------------- ----------- -------------
    TOTAL -                        12,478.000                380,295.54          0.00            0.00          0.00      12,478    380,295.54

    CURRENT HOLDINGS -
    ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST     PRICE   DATE        MARKET VALUE   UNREALIZED G/L
    MS     BE3801181  Fortis Group                      12,478.000 SHRS       30.477      380,295.54    25.739 12-31-01       321,171.24       -59,124.30

MS     CGSFF      Cap Gemini Eur8 ORDS
PUR   06-14-01     270279           2,364.000     103.850    247,060.06                                                       0          0.00 Cap Gemini @103.85
ICA   07-13-01     274152                                     -1,558.66                                                                        ADJ BEG BAL-PUR
SAL   09-07-01     278362            -905.000      59.660                   53,992.30     -165,364.72   -111,372.42                              Cap Gemini SA
SAL   09-07-01     278362          -2,509.000      59.660                  149,686.94     -273,626.98   -123,940.04                              Cap Gemini SA
                                -------------              ------------- ------------- --------------- ------------- ----------- -------------
    TOTAL -                        -1,050.000                245,501.40    203,679.24     -438,991.70   -235,312.46           0          0.00

MS     CR001A     Zurich Financial Services AG
SAL   07-19-01     273351            -678.000     321.200                  217,773.60     -377,417.70   -159,644.10                              Zurich Financial ORDS
                                -------------              ------------- ------------- --------------- ------------- ----------- -------------
    TOTAL -                          -678.000                      0.00    217,773.60     -377,417.70   -159,644.10           0          0.00

MS     CH12138530 Credit Suisse Group
SPLDV 08-17-01     275971           9,480.000                      0.00                                                       0          0.00 Credit Suisse 4 for 1 distri.
CNVTO 08-17-01   275971.1           2,250.000     218.680    492,030.00                                                   9,000    492,030.00 Credit Suisse exchange
CNVTO 08-17-01   275971.2             348.000     209.870     73,034.76                                                   1,392     73,034.76 Credit Suisse exchange
CNVTO 08-17-01   275971.3             562.000     204.090    114,898.58                                                   2,248    114,898.58 Credit Suisse exchange
                                -------------              ------------- ------------- --------------- ------------- ----------- -------------
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                                                              Market Street Trust Company
04-23-02                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                        PAGE 19
PC3.3                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
----- -------- ----------      -------------  ---------  ------------  ------------  ------------  ------------  ----------  ------------  -----------
      TOTAL -                     12,640.000               679,763.34          0.00          0.00          0.00      12,640    679,763.34

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST      PRICE  DATE         MARKET VALUE  UNREALIZED G/L
      MS     CH12138530 Credit Suisse Group               12,640.000 SHRS      53.779      679,763.34     42.644  12-31-01       539,020.16     -140,743.18

MS     CH12332372 Swiss RE-REG
SPLDV 08-21-01      275975         4,237.000                     0.00                                                        0          0.00  Swiss RE-REG 20 for 1 distr.
CNVTO 08-21-01    275972.1           153.000  2,162.630    330,882.39                                                    3,060    330,882.39  Schweizerische Reuck. exchange
CNVTO 08-21-01    275972.2            20.000  1,988.530     39,770.60                                                      400     39,770.60  Schweizerische Reuck. exchange
CNVTO 08-21-01    275972.3            50.000  2,295.910    114,795.50                                                    1,000    114,795.50  Schweizerische Reuck. exchange
PUR   10-08-01      281238           336.000    100.030     33,610.08                                                      336     33,610.08  Swiss Re-Reg
PUR   10-10-01      281722         1,552.000    101.310    157,233.12                                                    1,552    157,233.12  Swiss RE-REG
                               -------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                      6,348.000               676,291.69          0.00          0.00          0.00       6,348    676,291.69

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST      PRICE  DATE         MARKET VALUE  UNREALIZED G/L
      MS     CH12332372 Swiss RE-REG                       6,348.000 SHRS     106.536      676,291.69    100.587  12-31-01       638,526.28      -37,765.41

MS     CH1245585 . Schweizerische Rueckversicher
CNVTO 07-03-01    273166.1           153.000  2,162.630    330,882.39                                                        0          0.00  Name change - Swiss RE-REG
CNVTO 07-03-01    273166.2            20.000  1,988.530     39,770.60                                                        0          0.00  Name change - Swiss RE-REG
CNVTO 07-03-01    273166.3            50.000  2,295.910    114,795.50                                                        0          0.00  Name change - Swiss RE-REG
CNVFR 08-21-01      275972          -223.000  2,095.056                  485,448.49   -485,448.49          0.00                            Schweizerische Reuck. exchange
                               -------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                          0.000               485,448.49    485,448.49   -485,448.49          0.00           0          0.00

MS     CRIIF       Unicredito Italiano
ICA   10-01-01      282992                                      -0.57                                                                      ADJ REG BAL-PUR
                               -------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                          0.000                    -0.57          0.00          0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST      PRICE  DATE         MARKET VALUE  UNREALIZED G/L
      MS     CRIIF       Unicredito Italiano              78,420.000 SHRS       4.903      384,468.23      4.000  12-31-01       313,680.00      -70,788.23
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04-11-02                                                          Market Street Trust Company                                                                                         PAGE 20
PC3.3                                                       PURCHASE / SALE DETAIL HISTORY REPORT
                                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                     REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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MS    CSRBG    Credit Suisse
PUR   01-23-01  249695              562.000   204.090    114,698.58                                                     0          0.00  Credit Suisse @204.09
CNVTR 08-17-01  275971           -3,160.000   167.300                 679,763.34     -679,763.34          0.00                            Credit Suisse exchange
                              -------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    -2,598.000              114,698.58   679,763.34     -679,763.34          0.00            0          0.00

MS    ELN      Elan PLC A/D/R
PUR   01-23-01  249535            2,345.000    48.875    114,611.88                                                 2,345    114,611.88  Elan PLC @48.875
                              -------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                     2,345.000              114,611.88         0.00            0.00          0.00        2,345    114,611.88

MS    FJTSY    Fujitsu LTD
PUR   01-23-01  249708            1,270.000    88.500    112,395.00                                                     0          0.00  Fujitsu LTD @88.50
SAL   05-31-01  268364           -3,922.000    64.278                 252,092.65     -484,731.00   -232,638.35                            Fujitsu LTD @64.278
                              -------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    -2,652.000              112,395.00   252,092.65     -484,731.00   -232,638.35            0          0.00

MS    FORTIS   Fortis (B) REP ORDS
CNVTR 12-18-01  288749          -12,478.000    23.280                 380,295.54     -380,295.54          0.00                            Fortis B exchange - Fortis Gp
                              -------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                   -12,478.000                    0.00   380,295.54     -380,295.54          0.00            0          0.00

MS    FR120578 Sanofi-Synthelabo SA
PUR   08-10-01  278978            5,590.000    60.980    340,878.20                                                 5,590    340,878.20  Sanofi-Synthelabo SA
                              -------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                     5,590.000              340,878.20         0.00            0.00          0.00        5,590    340,878.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     FR120578  Sanofi-Synthelabo SA            5,590.000 SHRS     60.980    340,878.20     74.616  12-31-01     417,103.44       76,225.24

MS    FR127771 Vivendi Universal SA
PUR   10-29-01  282990            3,495.000    45.770    159,966.15                                                 3,495    159,966.15  Vivendi Universal SA
                              -------------            ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                     3,495.000              159,966.15         0.00            0.00          0.00        3,495    159,966.15

MS    GB6107006 Cadbury Schweppes
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                                                                              Market Street Trust Company
04-23-02                                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 21
FC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
----- -------- ----------       -------------- ---------- ------------ ------------ --------------- -------------  ------------ ------------ ------------
PUR   10-29-01     282988           61,311.000      6.246   382,948.50                                                 61,311   382,948.50 Cadbury Schweppes
                                --------------            ------------ ------------ --------------- -------------  ------------ ------------
      TOTAL -                       61,311.000              382,948.50         0.00            0.00          0.00        61,311   382,948.50

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      MS    GB6107006.. Cadbury Schweppes                 61,311.000 SHRS       6.246      382,948.50      6.375  12-31-01    390,857.63        7,909.13

MS     GSK        Glaxosmithkline PLC
CRVTO 01-04-01     249203            8,381.000     58.185   487,646.96                                                  8,381   487,646.96 Smithkline Beecham-Glaxosmith
                                --------------            ------------ ------------ --------------- -------------  ------------ ------------
      TOTAL -                        8,381.000              487,646.96         0.00            0.00          0.00         8,381   487,646.96

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      MS    GSK        Glaxosmithkline PLC                 8,381.000 SURS      58.185      487,646.96     49.820  12-31-01    417,541.42      -70,105.54

MS     HENMAD     Hennes and Mauritz A B Seko
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      MS    HENMAD     Hennes and Mauritz A B Seko        19,900.000 SHRS      19.078      379,655.50     20.657  12-31-01    411,074.30       31,418.80

MS     HK0005     HSBC Holdings PLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      MS    HK0005     HSBC Holdings PLC                  24,000.000 SHRS      13.750      330,000.00     11.702  12-31-01    280,848.00      -49,152.00

MS     HK0005US   HSBC Holdings PLC USD
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE            COST      PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      MS    HK0005US   HSBC Holdings PLC USD               3,600.000 SHRS      14.867       53,521.00     11.702  12-31-01     42,127.20      -11,393.80

MS     JP388      Mizuho Holdings Inc
SAL   09-10-01     278169              -59.000  4,486.518                 264,704.55     -419,450.00   -154,745.45                           Mizuho Holdings Inc
                                --------------            ------------ ------------ --------------- -------------  ------------ ------------
      TOTAL -                          -59.000                    0.00   264,704.55     -419,450.00   -154,745.45             0         0.00
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04-23-02                                                                 Market Street Trust Company                                                PAGE 22
PC1.1                                                                 PURCHASE / SALE DETAIL HISTORY REPORT
                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING     REMAINING
TYPE  TRN DATE TRN NUMBER          QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY     COST BASIS  DESCRIPTION
----  -------- ----------     -------------  --------  ------------  ------------- --------------- ------------- ----------  -------------  -----------

MS     LRBFF     Loreal FRF10 ORDS
PUR   01-23-01    249701          7,341.000    78.320    574,947.12                                                  7,341     574,947.12  Loreal FRF10 ORDS @78.32
                              -------------            ------------  ------------- --------------- ------------- ----------  -------------
      TOTAL -                     7,341.000              574,947.12           0.00            0.00          0.00      7,341     574,947.12

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      MS     LRBFF     Loreal FRF10 ORDS                7,341.000 SHRS     78.320      574,947.12     71.291  12-31-01     523,361.91       -51,585.21

MS     LVMHF     LVMH Moet Hennesy
PUR   01-23-01    249710          1,665.000    68.870    114,668.55                                                  1,665     114,668.56  LVMH Moet Hennesy @68.87
                              -------------            ------------  ------------- --------------- ------------- ----------  -------------
      TOTAL -                     1,665.000              114,668.56           0.00            0.00          0.00      1,665     114,668.56

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      MS     LVMHF     LVMH Moet Hennesy                5,953.000 SHRS     82.610      491,777.47     40.033  12-31-01     238,316.45      -253,461.02

MS     LYEFF     Suez Lyonnaise Des EAUX
PUR   01-23-01    249702            687.000   167.210    114,873.27                                                  3,435     114,873.27  Suez Lyonnaise DES @167.21
SPLDV 05-16-01    266715         13,068.000                    0.00                                                      0           0.00  Suez 5 for 1 stok split
PUR   06-14-01    270278          3,352.000    31.390    105,219.28                                                  3,352     105,219.28  Suez Eur2 @31.39
                              -------------            ------------  ------------- --------------- ------------- ----------  -------------
      TOTAL -                    17,107.000              220,092.55           0.00            0.00          0.00      6,787     220,092.55

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      MS     LYEFF     Suez Lyonnaise Des EAUX         19,687.000 SHRS     33.555      660,601.75     30.047  12-31-01     591,535.29       -69,066.46

MS     NL496750   AHOLD NV-STK
PUR   05-18-01    268362         23,887.000     0.000          0.00                                                      0           0.00  AHOLD NV-STK receipt of rights
SAL   06-13-01    272073        -23,887.000     0.000                         0.00            0.00          0.00                           AHOLD NV delivery of rights
                              -------------            ------------  ------------- --------------- ------------- ----------  -------------
      TOTAL -                         0.000                    0.00           0.00            0.00          0.00          0           0.00

MS     NL497064   Rights - VNU NV
PUR   08-24-01    275979         12,306.000     0.000          0.00                                                 12,306           0.00  Rights - VNU NV
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04-23-02                                                   Market Street Trust Company                                                      PAGE 23
FC3.3                                                   PURCHASE / SALE DETAIL HISTORY REPORT
                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                            REMAINING    REMAINING
TYPE TXN DATE TXN NUMBER         QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
---- -------- ----------   ------------- ---------- ------------ ------------- --------------- ------------- ---------- ------------ -----------
     TOTAL -                  12,306.000                   0.00          0.00            0.00          0.00     12,306         0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     MS     NL497964   Rights - VNU NV                 12,306.000 SHRS     0.000            0.00       0.000 12-31-01            0.00            0.00

MS   NL497980   AHOLD NV-STK - Rights
PUR  09-05-01    278282       23,887.000      0.000        0.00                                                23,887         0.00 AHOLD NV-STK DVD
                           -------------            ------------ ------------- --------------- ------------- ---------- ------------
     TOTAL -                  23,887.000                   0.00          0.00            0.00          0.00     23,887         0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     MS     NL497380   AHOLD NV-STK - Rights           23,887.000 SHRS     0.000            0.00       0.000 12-31-01            0.00            0.00

MS   NOK        Nokia Corp CL-A
PUR  01-23-01    249531        3,000.000     38.438  115,312.50                                                 3,000   115,312.50 Nokia Corp CL A @38.4375
PUR  02 28 01    852459        4,356.000 [illegible].100   96,281.86                                                 4,355    96,281.85 Nokia Corp
                           -------------            ------------ ------------- --------------- ------------- ---------- ------------
     TOTAL -                   7,355.000             211,594.35          0.00            0.00          0.00      7,355   211,594.35

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE            COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     MS     NOK        Nokia Corp CL-A                 25,160.000 SHRS    37.746      949,699.98      24.530 12-31-01      617,174.80     -332,525.18

MS   NOVRGF     Novartis AG
PUR  01-23-01    249696           69.000  1,656.170  114,275.73                                                     0         0.00 Novartis AG @1656.17
CNVFR 05-10-01   266592         -435.000  1,563.980               678,651.97     -678,651.97          0.00                         Exchange of Novartis A G
                           -------------            ------------ ------------- --------------- ------------- ---------- ------------
     TOTAL -                    -366.000             114,275.73    678,651.97     -678,651.97          0.00          0         0.00

MS   NOVRGFAG   Novartis AG
SPLDW 05-10-01   266593       16,465.000                   0.00                                                     0         0.00 Novartis AG 40 shares for 1
CNVTO 05-10-01   266592.1        320.000  1,652.990  496,956.80                                                12,800   496,956.80 Exchange of Novartis A G
CNVTO 05-10-01   266592.2         46.000  1,465.640   67,419.44                                                 1,840    67,419.44 Exchange of Novartis A G
CNVTO 05-10-01   266592.3         69.000  1,656.170  114,275.73                                                 2,760   114,275.73 Exchange of Novartis A G
                           -------------            ------------ ------------- --------------- ------------- ---------- ------------
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                                                                           Market Street Trust Company
04-21-02                                                              PURCHASE / SALE DETAIL HISTORY REPORT                                                         PAGE 24
FC1.3                                                                 BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
----  -------- ----------         ------------  ---------  ------------  ------------  -------------- ------------  -----------  ------------ -----------

      TOTAL -                      17,400.000               678,651.97          0.00            0.00         0.00       17,400    678,651.97

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST        PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      MS     NOVRGFAG   Novartis AG                      17,400.000 SHRS.     39.003      678,651.97       35.650  12-31-01      620,310.00       -58,341.97

MS    NT          Nortel Networks Corp
PUR   01-23-01     249537          12,140.000     38.302     464,985.41                                                          0          0.00 Nortel Networks Corp @38.30192
PUR   02-28-01     262460           5,425.000     18.001      97,655.43                                                          0          0.00 Nortel Networks Corp
SAL   06-15-01     270276         -28,175.000      9.250                  260,598.79   -1,331,267.72 -1,070,668.93                              Nortel Networks @9.3496
                                  ------------              ------------  ------------  -------------- ------------  -----------  ------------
      TOTAL -                     -10,610.000               562,640.84    260,598.79   -1,331,267.72 -1,070,668.93            0          0.00

MS    NWS         News Corp Ltd A/D/R
PUR   01-23-01     249536           3,036.000     38.063     115,519.69                                                      3,036    115,519.69 News Corp LTD @38.0625
                                  ------------              ------------  ------------  -------------- ------------  -----------  ------------
      TOTAL -                       3,036.000               115,519.69          0.00            0.00         0.00        3,036    115,519.69

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST        PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      MS     NWS        News Corp Ltd A/D/R              10,835.000 SHRS      46.691      505,895.95       31.810  12-31-01      344,661.35      -161,234.60

MS    PHG         Koninklijke Philips Electronic
PUR   01-23-01     249532           2,895.000     39.879     115,438.13                                                      2,895    115,438.13 Koninklijke Philips Electrs
                                  ------------              ------------  ------------  -------------- ------------  -----------  ------------
      TOTAL -                       2,895.000               115,438.13          0.00            0.00         0.00        2,895    115,438.13

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST        PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      MS     PHG        Koninklijke Philips Electronic   19,885.000 SHRS      43.929      873,524.78       29.110  12-31-01      578,852.35      -294,672.43

MS    PSNDP       Pearson PLC
PUR   01-23-01     249698           4,485.000     25.590     114,771.15                                                      4,485    114,771.15 Pearson PLC
PUR   10-29-01     282987          14,153.000     12.022     170,143.12                                                     14,153    170,143.12 Pearson PLC
                                  ------------              ------------  ------------  -------------- ------------  -----------  ------------
      TOTAL -                      18,638.000               284,914.27          0.00            0.00         0.00       18,638    284,914.27
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MS	PSNBF	Pearson PLC	38,547.000	SHRS	22.328	860,672.94	11.503	12-31-01	443,406.14	-417,266.80

MS Pierpont J.P. Morgan Funds

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-02-01	249199	23,000.000	1.000	23,000.00				0	0.00	Federal Money Market Sweep Fd
PUR	01-11-01	249200	19.440	1.000	19.44				0	0.00	Federal Money Market Sweep Fd
SAL	01-18-01	249201	-2,604.820	1.000		2,604.82	-2,604.82	0.00			Federal Money Market Sweep Fd
SAL	01-26-01	249519	-3,694,502.730	1.000		3,694,502.73	-3,694,502.73	0.00			Federal Money Market Sweep Fd
PUR	01-29-01	249855	436,645.770	1.000	436,645.77				0	0.00	Federal Money Market Sweep Fd
SAL	01-30-01	249856	-804,495.870	1.000		804,495.87	-804,495.87	0.00			Federal Money Market Sweep Fd
SAL	02-01-01	251816	-227,164.750	1.000		227,164.75	-227,164.75	0.00			Federal Money Market Sweep Fd
PUR	02-20-01	252186	10.680	1.000	10.68				0	0.00	Federal Money Market Sweep Fd
PUR	02-27-01	252187	21,326.820	1.000	21,326.82				0	0.00	Federal Money Market Sweep Fd
PUR	03-02-01	256191	68,000.000	1.000	68,000.00				0	0.00	Federal MM Sweep Fund
SAL	03-05-01	256193	-391,931.110	1.000		391,931.11	-391,931.11	0.00			Federal MM Sweep Fund
SAL	03-07-01	256194	-98,743.020	1.000		98,743.02	-98,743.02	0.00			Federal MM Sweep Fund
SAL	04-18-01	263091	-3,256.150	1.000		3,256.15	-3,256.15	0.00			Federal Money Market Sweep Fd
SAL	04-20-01	265401	-908.430	1.000		908.43	-908.43	0.00			Federal Money Market Sweep Fd
PUR	04-24-01	265402	0.010	1.000	0.01				0	0.00	Federal Money Market Sweep Fd
PUR	04-26-01	265403	21.370	1.000	21.37				0	0.00	Federal Money Market Sweep Fd
SAL	05-02-01	266516	-26,083.150	1.000		26,083.15	-26,083.15	0.00			Federal Money Market Sweep Fd
PUR	06-04-01	269637	755,600.000	1.000	755,600.00				0	0.00	Federal MM Sweep Fund
SAL	06-05-01	269639	-125,707.350	1.000		125,707.35	-125,707.35	0.00			Federal MM Sweep Fund
PUR	06-08-01	269638	4,528.940	1.000	4,528.94				0	0.00	Federal MM Sweep Fund
SAL	06-14-01	269640	-4,528.940	1.000		4,528.94	-4,528.94	0.00			Federal MM Sweep Fund
PUR	06-20-01	270274	260,598.790	1.000	260,598.79				0	0.00	Federal MM Sweep Fund
PUR	06-21-01	270275	7,795.500	1.000	7,795.50				0	0.00	Federal MM Sweep Fund
SAL	06-22-01	270559	-706,069.340	1.000		706,069.34	-706,069.34	0.00			Federal MM Sweep Fund
PUR	07-12-01	273161	1,558.660	1.000	1,558.66				0	0.00	Federal MM Sweep Fund
SAL	07-13-01	273162	-490,623.030	1.000		490,623.03	-490,623.03	0.00			Federal MM Sweep Fund
SAL	07-16-01	273163	-7,798.600	1.000		7,798.60	-7,795.60	0.00			Federal MM Sweep Fund
SAL	07-17-01	273164	-24,544.650	1.000		24,544.65	-24,544.65	0.00			Federal MM Sweep Fund
SAL	07-18-01	273165	-1,421.960	1.000		1,421.96	-1,421.96	0.00			Federal MM Sweep Fund
PUR	07-19-01	273353	217,773.600	1.000	217,773.60				0	0.00	Federal MM Sweep Funds
SAL	08-17-01	275602	-340,878.200	1.000		340,878.20	-340,878.20	0.00			Federal MM Sweep Fund
PUR	08-28-01	276262	16,166.380	1.000	16,166.38				0	0.00	Federal MM Sweep Fund

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04-23-02                                              Market Street Trust Company                                                        PAGE 26
FC1.3                                          PURCHASE / SALE DETAIL HISTORY REPORT
                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                REMAINING    REMAINING
TYPE TXN DATE TXN NUMBER         QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION
---- -------- ----------    -------------  --------  ------------ ------------- --------------- -------------  ----------  ----------- -----------
PUR  09-13-01     278279      181,241.930     1.000    181,241.93                                                      0         0.00 Federal MM Sweep Fund
PUR  09-10-01     278366      391,151.900     1.000    391,151.90                                                      0         0.00 JPM Federal MM Sweep Fund
PUR  09-20-01     278367      203,679.240     1.000    203,679.24                                                      0         0.00 JPM Federal MM Sweep Fund
SAL  09-25-01     279045     -203,679.240     1.000                  203,679.24     -203,679.24          0.00                         JPM Federal MM Sweep Fund
PUR  09-26-01     279044      203,679.240     1.000    203,679.24                                                      0         0.00 JPM Federal MM Sweep Fund
PUR  10-12-01     281221      189,059.740     1.000    189,059.74                                                      0         0.00 JPM Federal MM Sweep Fund
SAL  10-17-01     281720     -157,233.120     1.000                  157,233.12     -157,233.12          0.00                         JPM Federal MM Sweep Fund
SAL  10-18-01     281721       -1,803.120     1.000                    1,803.12       -1,803.12          0.00                         JPM Federal MM Sweep Fund
SAL  10-29-01     282571      -33,462.810     1.000                   33,462.81      -33,462.81          0.00                         JPM Federal MM Sweep Fund
SAL  11-06-01     284634     -713,057.770     1.000                  713,057.77     -713,057.77          0.00                         JPM Federal MM Sweep Fund
SAL  11-07-01     284636      -91,705.020     1.000                   91,705.02      -91,705.02          0.00                         JPM Federal MM Sweep Fund
PUR  12-06-01     287315       27,145.860     1.000     27,145.86                                                 27,146    27,145.86 Federal MM Sweep Fund div.
                            -------------            ------------ ------------- --------------- -------------  ----------  -----------
     TOTAL -               -8,143,188.250            3,009,011.79  8,152,200.08   -8,152,200.08          0.00     27,146    27,145.86

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
     MS     Pierpont   J.P. Morgan Funds             739,343.150 UNTS       1.000    739,343.15      1.000  12-31-01      27,145.86      -712,197.29

MS    RECBF      Reckitt Benckiser ORD 10
PUR  01-23-01     249706        9,145.000    12.550    114,769.75                                                  9,145   114,769.75 Reckitt Benckiser @12.55
SAL  12-03-01     287495       -2,466.000    13.210                   32,562.65      -28,248.90      4,313.75                         Reckitt Benckiser PLC
                            -------------            ------------ ------------- --------------- -------------  ----------  -----------
     TOTAL -                    6,680.000              114,769.75     32,562.65      -28,248.90      4,313.75      9,145   114,769.75

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
     MS     RECBF      Reckitt Benckiser ORD 10       56,727.000 SHRS      11.693    663,331.20     14.554  12-31-01     825,604.76       162,273.56

MS    SAPGF      SAP AG NPV ORDS
PUR  07-11-01     273169        4,110.000   119.373    490,623.03                                                  4,110   490,623.03 SAP AG NPV @119.373
                            -------------            ------------ ------------- --------------- -------------  ----------  -----------
     TOTAL -                    4,110.000              490,623.03          0.00            0.00          0.00      4,110   490,623.03

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
     MS     SAPGF      SAP AG NPV ORDS                 4,110.000 SHRS     119.373    490,623.03    130.266  12-31-01     535,393.26        44,770.23
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                                                                                  Market Street Trust Company
04-23-02                                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                      PAGE 27
PC1.3                                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                              REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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MS     SBH       Smithkline Beecham PLC
CNVFR 01-04-01    249201           -7,365.000      63.728                  487,646.96     -487,646.96          0.00                              Smithkline Beecham-Glaxosmith
                                   ------------              ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                      -7,365.000                        0.00  487,646.96     -487,646.96          0.00           0          0.00

MS     SIEROF    Siemens AG NPV
PUR   05-07-01    266714            1,778.000      0.000            0.00                                                   1,778          0.00  Siemens AG fract'l rights
                                   ------------              ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                       1,778.000                       0.00          0.00            0.00          0.00       1,778          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     SIEROF     Siemens AG NPV                         5,334.000 SHRS       77.665    414,263.33    66.201  12-31-01     353,116.13      -61,147.20

MS     SNE       Sony Corp
PUR   01-23-01    249610            1,530.000     75.375     115,323.75                                                    1,530    115,323.75  Sony Corp @75.375
                                   ------------              ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                       1,530.000                115,323.75          0.00            0.00          0.00       1,530    115,323.75

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     SNE        Sony Corp                              5,635.000 SHRS       90.602    510,543.13    45.100  12-31-01     254,138.50     -256,404.63

MS     STM       STMICROELECTRONICS NV
PUR   01-23-01    249538            5,065.000     45.875     232,356.88                                                    5,065    232,356.88  STmicroelectronics N V @45.875
PUR   02-28-01    252458            3,070.000     32.343      99,293.32                                                    3,070     99,293.32  Stmicroelectronics NV
                                   ------------              ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                       8,135.000                331,650.20          0.00            0.00          0.00       8,135    331,650.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM       AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      MS     STM        STMICROELECTRONICS NV                 18,315.000 SHRS       49.035    898,082.39    31.670  12-31-01     580,036.05     -318,046.34

MS     SWIRG     Swiss RE N
PUR   01-23-01    249697               50.000  2,295.910     114,795.50                                                        0          0.00  Swiss RE N @2295.91
CNVFR 07-03-01    273166             -223.000  1,974.200                  485,440.49     -485,440.49          0.00                              Name change - Swiss RE-REG
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04-23-02                                                  Market Street Trust Company                                                    PAGE 26
FC3.3                                                PURCHASE / SALE DETAIL HISTORY REPORT
                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                              REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY    COST BASIS DESCRIPTION
----- -------- ----------        ------------- --------- ------------ ------------- --------------- ------------ ----------- ------------ -----------
      TOTAL -                        -173.000               114,795.50    485,448.49     -485,448.49         0.00           0         0.00

MS     SYBD        Syngenta AG
SAL   02-22-01      252190           -366.000     58.270                  21,326.82       -2,250.12    19,076.70                          Syngenta AG @58.27
                                 -------------           ------------ ------------- --------------- ------------ ----------- ------------
      TOTAL -                        -366.000                     0.00    21,326.82       -2,250.12    19,076.70           0         0.00

MS     TEF         Telefonica SA
PUR   01-23-01      249829          1,965.000     59.291  116,507.40                                                   2,004   116,507.40 Telefonica S A @59.2913
SPLDV 02-09-01      255742            183.000                   0.00                                                       0         0.00 Telefonica 2% stock dividend
SPLDV 04-26-01      263096            226.000                   0.00                                                       0         0.00 Telefonica SA 2% stock div.
                                 -------------           ------------ ------------- --------------- ------------ ----------- ------------
      TOTAL -                       2,374.000               116,507.40          0.00            0.00         0.00       2,004   116,507.40

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MS     TEF        Telefonica SA                      11,764.000 SHRS       58.677      690,280.79     40.080 12-31-01     462,282.72   -227,998.07

MS     TIMIF       (Tim)Telecom Italia Mobile ITL
PUR   01-23-01      249704         14,004.000      8.190  114,692.76                                                  14,004   114,692.76 (TIM) Telecom Italia @8.19
                                 -------------           ------------ ------------- --------------- ------------ ----------- ------------
      TOTAL -                      14,004.000               114,692.76          0.00            0.00         0.00      14,004   114,692.76

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MS     TIMIF      (Tim)Telecom Italia Mobile ITL     54,862.000 SHRS        8.968      491,993.80      5.511 12-31-01     302,344.48   -189,649.32

MS     VODAF       Vodafone Group PLC
PUR   01-23-01      249699         34,160.000      3.360  114,777.60                                                  34,160   114,777.60 Vodafone Group PLC
PUR   11-08-01      284909         14,991.000      2.604   39,036.56                                                  14,991    39,036.56 Vodafone Group
                                 -------------           ------------ ------------- --------------- ------------ ----------- ------------
      TOTAL -                      49,151.000               153,814.16          0.00            0.00         0.00      49,151   153,814.16

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      MS     VODAF      Vodafone Group PLC                184,361.000 SHRS        3.940      726,405.56      2.616 12-31-01     482,262.22   -244,143.34
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MBIETC Pierpont	J.P. Morgan Funds										
PUR	04-04-01	263097	5,096,978.000	1.000	5,096,978.00				0	0.00	Federal Money Market Sweep Fd
SAL	04-11-01	263099	-1,045,778.000	1.000		1,045,778.00	-1,045,778.00	0.00			Federal Money Market Sweep Fd
SAL	04-30-01	263819	-908.420	1.000		908.42	-908.42	0.00			Federal Money Market Sweep Fd
PUR	05-02-01	266520	1,113,390.000	1.000	1,113,390.00				0	0.00	Federal Money Market Sweep Fd
SAL	05-09-01	266521	-8,500.000	1.000		8,500.00	-8,500.00	0.00			Federal Money Market Sweep Fd
SAL	05-18-01	268338	-2,235.170	1.000		2,235.17	-2,235.17	0.00			Federal MM Sweep Funds
PUR	06-01-01	269631	836,200.000	1.000	836,200.00				0	0.00	Federal MM Sweep Fund
SAL	06-11-01	269632	-4,000.000	1.000		4,000.00	-4,000.00	0.00			Federal MM Sweep Fund
SAL	06-27-01	270518	-4,593.750	1.000		4,593.75	-4,593.75	0.00			Federal MM Sweep Fund
PUR	07-03-01	272935	38,100.000	1.000	38,100.00				0	0.00	Federal MM Sweep Fund
SAL	07-06-01	272936	-8,000.000	1.000		8,000.00	-8,000.00	0.00			Federal MM Sweep Fund
SAL	07-18-01	272937	-593.400	1.000		593.40	-593.40	0.00			Federal MM Sweep Fund
SAL	08-01-01	275421	-6,010,059.260	1.000		6,010,059.26	-6,010,059.26	0.00			Tfr MM funds to Lazard
	TOTAL -		0.000		7,084,668.00	7,084,668.00	-7,084,668.00	0.00	0	0.00	

PINACL AGRL Autogrill SA

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL AGRL	Autogrill SA	11,850.000	SHRS	10.651	126,214.81				-126,214.81

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PINACL ANR	Annuity & Life RE Holdings LTD										
PUR	08-24-01	276256	1,910.000	34.859	66,580.50				0	0.00	Annuity & Life Re Holdings
SAL	11-19-01	284945	-1,910.000	22.579		43,029.52	-66,580.50	-23,550.98			Annuity & Life RE Holdings LTD
	TOTAL -		0.000		66,580.50	43,029.52	-66,580.50	-23,550.98	0	0.00	
PINACL AUBRL2	BRL Hardy Limited										
PUR	04-12-01	265455	30,000.000	4.652	139,556.26				0	0.00	BRL Hardy LTD
PUR	06-14-01	270297	20,000.000	5.281	105,615.86				0	0.00	BRL Hardy Limited
SAL	09-27-01	280206	-50,000.000	4.745		237,265.56	-245,172.12	-7,906.56			BRL Hardy Limited
	TOTAL -		0.000		245,172.12	237,265.56	-245,172.12	-7,906.56	0	0.00	
PINACL AUBRLR1	BRL Hardy - Rights										
PUR	09-25-01	278999	5,000.000	0.000	0.00				0	0.00	BRL Hardy receipt of Rights

ENTITY INVESTMENT DESCRIPTION TYPE TXN DATE TXN NUMBER			QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	10-16-01	283398	-5,000.000	0.000		0.00	0.00	0.00			BRL Hardy Rights name change
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	
PINACL AUMIG8	Macquarie Infrastructure Group										
PUR	08-01-01	275447	100,000.000	1.731	173,062.97				0	0.00	MacQuarie Infrastructure
SAL	12-10-01	287377	-100,000.000	1.674		167,385.92	-173,062.97	-5,677.05			Macquarie Infrastructure Group
	TOTAL -		0.000		173,062.97	167,385.92	-173,062.97	-5,677.05	0	0.00	
PINACL AUQBE9	QBE Insurance Group LTD										
PUR	04-11-01	265469	25,000.000	6.129	153,224.95				0	0.00	QBE Insurance Group
SAL	05-21-01	267180	-25,000.000	5.558		138,947.70	-153,224.95	-14,277.25			QBE Insurance Group LTD
	TOTAL -		0.000		153,224.95	138,947.70	-153,224.95	-14,277.25	0	0.00	
PINACL AUSRP7	Southcorp Limited										
PUR	04-11-01	265468	40,000.000	3.615	144,600.35				40,000	144,600.35	Southcorp
	TOTAL -		40,000.000		144,600.35	0.00	0.00	0.00	40,000	144,600.35	
PINACL AUTOL1	Toll Holdings Limited										
PUR	08-13-01	275448	9,000.000	11.877	106,895.32				9,000	106,895.32	Toll Holdings Limited
	TOTAL -		9,000.000		106,895.32	0.00	0.00	0.00	9,000	106,895.32	
PINACL BE3785020	Omega Pharma SA										
PUR	08-24-01	276259	1,500.000	46.734	70,101.11				1,500	70,101.11	Omega Pharma SA
	TOTAL -		1,500.000		70,101.11	0.00	0.00	0.00	1,500	70,101.11	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL BE3785020	Omega Pharma SA	1,500.000	SHRS	46.734	70,101.11	45.277	12-31-01	67,915.50	-2,185.61

ENTITY INVESTMENT DESCRIPTION TYPE TXN DATE TXN NUMBER			QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PINACL BE3801181	Fortis Group										
CRVTO	12-20-01	288741.1	3,700.000	26.715	98,847.15				3,700	98,847.15	Fortis NV exchange - Fortis Gp

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04-23-02                                                                      Market Street Trust Company
FC3.3                                                                  PURCHASE / SALE DETAIL HISTORY REPORT
                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION.                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY   COST BASIS DESCRIPTION
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CNVTO 12-20-01    288741.2          1,600.000     23.273    37,236.04                                                    1,600    37,236.04 Fortis NV exchange - Fortis Gp
                              --------------            ------------ ------------- --------------- -------------   ---------- ------------
     TOTAL -                        5,300.000              136,083.19          0.00            0.00          0.00        5,300   136,083.19

PINACL BMG          HongKong Land Holdings LTD
PUR   04-19-01       263816        40,000.000      0.267    10,695.42                                                        0         0.00 Hong Kong Land
SAL   05-04-01       266264       -40,000.000      0.267                  10,695.42      -10,695.42          0.00                           To reverse purchase on 4/24/01
PUR   08-01-01       275520        40,000.000      2.085    83,408.24                                                        0         0.00 To correct purchase of 4/24/01
SAL   08-01-01       275521       -40,000.000      1.888                  75,522.48      -83,408.24     -7,885.76                           To correct reversal of 5/4/01
                              --------------            ------------ ------------- --------------- -------------   ---------- ------------
     TOTAL -                            0.000               94,103.66     86,217.90      -94,103.66     -7,885.76            0         0.00

PINACL BMG3122D10 Esprit Holdings LTD
PUR   12-04-01       287393        52,000.000      1.168    60,742.39                                                   52,000    60,742.39 Esprit Holdings LTD
                              --------------            ------------ ------------- --------------- -------------   ---------- ------------
     TOTAL -                       52,000.000               60,742.39          0.00            0.00          0.00       52,000    60,742.39

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     PINACL BMG3122D10 Esprit Holdings LTD                74,000.000 SHRS        1.371    101,433.91     1.112  12-31-01      57,824.00      -43,609.91

PINACL BMG5150J14 Johnson Electric Holdings LTD
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     PINACL BMG5150J14 Johnson Electric Holdings LTD      66,000.000 SHRS        1.308     86,336.16                                         -86,336.16

PINACL BMG5485F14 LI & Fung LTD
PUR   04-23-01       265484        48,000.000      1.877    90,073.91                                                        0         0.00 LI & Fung Co
SAL   06-01-01       269562       -48,000.000      1.751                  84,041.21      -90,073.91     -6,032.70                           LI & Fung LTD
PUR   11-16-01       284957        48,000.000      1.255    60,242.32                                                   48,000    60,242.32 LI & Fung LTD
                              --------------            ------------ ------------- --------------- -------------   ---------- ------------
     TOTAL -                       48,000.000              150,316.23     84,041.21      -90,073.91     -6,032.70       48,000    60,242.32

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     PINACL BMG5485F14 [illegible] & Fung LTD                     48,000.000 SHRS        1.255     60,242.32     1.122  12-31-01      53,856.00       -6,386.32
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                                                                              Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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PINACL BMG6901M10 Giordano International LTD
PUR   11-26-01    284958       134,000.000      0.493     66,034.72                                                  134,000     66,034.72  Giordano International LTD
                                ------------             ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                  134,000.000                66,034.72           0.00            0.00          0.00     134,000     66,034.72

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PINACL BMG6901M10 Giordano International LTD     134,000.000 SHRS        0.493       66,034.72     0.442  12-31-01       59,228.00       -6,806.72

PINACL BVF        Biovail Corp
PUR   04-18-01    263815         4,500.000     39.300    177,165.00                                                    4,500    177,165.00  Biovail Corp @39.30
                                ------------             ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                    4,500.000               177,165.00           0.00            0.00          0.00       4,500    177,165.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PINACL BVF        Biovail Corp                     3,500.000 SHRS       39.370      137,795.00    56.250  12-31-01      253,125.00      115,330.00

PINACL CH10740741 UBS AG-Registered
PUR   04-12-01    265453         1,200.000    149.596    179,515.70                                                    3,600    179,515.70  UBS AG-Registered
SPLDV 07-19-01    273353         3,600.000                     0.00                                                        0          0.00  UBS AG 3 for 1 stock split
CNVFR 07-19-01    275156        -1,200.000    141.920                      44,878.93      -44,878.93          0.00                            UBS AG exchange fm split
ICA   07-19-01    275158                                  44,878.93                                                                           ADJ REG BAL-PUR
                                ------------             ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                    3,600.000               224,394.63      44,878.93      -44,878.93          0.00       3,600    179,515.70

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PINACL CH10740741 UBS AG-Registered                3,600.000 SHRS       49.865      179,515.70    50.474  12-31-01      181,706.40        2,190.70

PINACL CH10943865 Logitech International-REG
PUR   07-02-01    273127           215.000    322.377     69,310.98                                                        0          0.00  Logitech International-REG
SPLDV 08-06-01    275449         1,935.000                     0.00                                                        0          0.00  Logitech Int'l 10 for 1 split
CNVFR 08-06-01    275450        -2,150.000    305.661                      69,310.98      -69,310.98          0.00                            Logitech Int'l Exchange
                                ------------             ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                        0.000                69,310.98      69,310.98      -69,310.98          0.00           0          0.00
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PINACL CH11037469 Syngenta AG											
PUR	04-12-01	263454	3,500.000	54.676	191,366.09				0	0.00	Syngenta AG
SAL	05-07-01	266772	-3,500.000	50.721		177,524.17	-191,366.09	-13,841.92			Syngenta AG
	TOTAL -		0.000		191,366.09	177,524.17	-191,366.09	-13,841.92	0	0.00	
PINACL CH11076394 Zurich Financial Services AG											
PUR	11-20-01	284951	310.000	273.492	84,782.38				310	84,782.38	Zurich Financial Services AG
	TOTAL -		310.000		84,782.38	0.00	0.00	0.00	310	84,782.38	
PINACL CH12032030 UBS AG-Registered											
CNVTO	07-19-01	275156	1,200.000	37.399	44,878.93				0	0.00	UBS AG exchange fm split
ICA	07-19-01	275159			-44,878.93						ADJ SEC BAL-PUR
SAL	07-24-01	275160	-1,200.000	0.925		1,110.34	0.00	1,110.34			Return of Capital fm UBS AG
	TOTAL -		0.000		0.00	1,110.34	0.00	1,110.34	0	0.00	
PINACL CH12100191 Tecan Group AG-REG											
PUR	10-05-01	281392	1,200.000	68.397	82,075.95				1,200	82,075.95	Tecan Group AG-REG
PUR	10-09-01	281393	400.000	73.197	29,278.63				400	29,278.63	Tecan Group AG-REG
	TOTAL -		1,600.000		111,354.58	0.00	0.00	0.00	1,600	111,354.58	
PINACL CH12607195 Logitech International S.A.											
CNVTO	08-06-01	275450	2,150.000	32.238	69,310.98				0	0.00	Logitech Int'l Exchange
SAL	10-03-01	281291	-2,150.000	19.363		41,629.65	-69,310.98	-27,681.33			Logitech International S.A.
	TOTAL -		0.000		69,310.98	41,629.65	-69,310.98	-27,681.33	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL CH12607195 Logitech International S.A.	1,500.000 SHRS	48.127	72,190.89	23.105	09-30-01	0.00	-72,190.89

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PINACL CH1066031 Phonak Holdings AG B											
PUR	06-22-01	267183	40.000	3,556.833	142,273.32				0	0.00	Phonak Holdings AG B
SAL	07-18-01	273354	-40.000	2,738.636		109,545.45	-142,273.32	-32,727.87			Phonak Holdings AG B

04-23-02
PC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		142,273.32	109,845.45	-142,273.32	-32,727.87	0	0.00	
PINACL CH4458847	Novartis AG Reg SHS										
PUR	04-11-01	265443	100.000	1,638.796	163,879.56				0	0.00	Novartis AG-REG
SPLDV	05-10-01	266769	3,900.000		0.00				0	0.00	Novartis AG 40 to 1 split
CNVFR	05-10-01	266769	-4,000.000	1,553.980		163,879.56	-163,879.56	0.00			Exchange Novartis A G
	TOTAL -		0.000		163,879.56	163,879.56	-163,879.56	0.00	0	0.00	
PINACL CH4458847A	Novartis AG Reg SHS										
CNVTO	05-10-01	266769	4,000.000	40.970	163,879.56				0	0.00	Exchange Novartis A G
SAL	05-15-01	266771	-2,200.000	37.697		82,934.21	-90,133.76	-7,199.55			Novartis AG Reg Shrs
SAL	11-30-01	286493	-1,800.000	35.003		63,004.66	-73,745.80	-10,741.14			Novartis AG
	TOTAL -		0.000		163,879.56	145,938.87	-163,879.56	-17,940.69	0	0.00	
PINACL CH4649528	Julius Baer Holding AG-B										
PUR	04-12-01	265452	35.000	4,247.365	148,657.77				0	0.00	Julius Baer Holdings
SAL	05-07-01	266773	-20.000	4,209.516		84,190.31	-84,947.30	-756.99			Julius Baer Holding AG-B
SAL	06-25-01	270564	-15.000	3,749.927		56,248.91	-63,710.47	-7,461.56			Julius Baer Holding
	TOTAL -		0.000		148,657.77	140,439.22	-148,657.77	-8,218.55	0	0.00	
PINACL CHKP	Check Point Software Tech.										
PUR	06-28-01	272066	1,500.000	53.152	79,728.90				0	0.00	Check Point Software Tech.
SAL	07-20-01	273343	-1,500.000	37.038		55,555.14	-79,728.90	-24,173.76			Check Point Software Tech.
	TOTAL -		0.000		79,728.90	55,555.14	-79,728.90	-24,173.76	0	0.00	

PINACL CN9068411 Zhejiang Expressway Co
CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL CN9068411 Zhejiang Expressway Co	166,000.000	SHRS	0.262	43,543.00				-43,543.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PINACL DE5190003	Bayerische Motoren Werke AG										
PUR	04-23-01	265487	3,000.000	34.283	102,850.01				0	0.00	BMW Bayer Motern WK
PUR	08-07-01	275456	4,100.000	36.742	150,637.69				0	0.00	Bayerische Motoren Werke AG

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04-23-02                                                                        Market Street Trust Company
FC3.3                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                                    PAGE 35
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ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING     REMAINING
TYPE  TRN DATE TRN NUMBER          QUANTITY        PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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SAL   09-25-01     279006      -3,000.000       20.796                   62,384.60     -102,850.01    -40,465.41                           Bayerische Motoren Werke AG
SAL   09-25-01     279007      -4,100.000       20.799                   85,277.25     -150,637.89    -65,360.64                           Bayerische Motoren Werke AG
                              -------------              ----------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                       0.000               253,487.90    147,661.85     -253,487.90   -105,826.05           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PINACL DE5190003  Bayerische Motoren Werke AG      3,700.000 SHRS      41.812    154,704.65     32.111  08-31-01           0.00      -154,704.65

PINACL DE6937733  Porsche AG
PUR   04-18-02     265464          30.000    3,025.361    90,760.83                                                     300     90,760.83  Porshe AG PFD
SPLDV 04-26-01     265493         270.000                      0.00                                                       0          0.00  Porsche Stock Split 10 for 1
                              -------------              ----------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                     300.000                90,760.83          0.00            0.00          0.00         300     90,760.83

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PINACL DE6937733  Porsche AG                         375.000 SHRS     361.888    135,707.87    380.112  12-31-01     114,033.60       -21,674.27

PINACL DE7600801  Altana AG
PUR   10-17-01     282321         700.000       47.147    33,003.24                                                     700     33,003.24  Altana AG
PUR   11-02-01     284631         500.000       50.181    25,090.42                                                     500     25,090.42  Altana AG
                              -------------              ----------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                   1,200.000                58,093.66          0.00            0.00          0.00       1,200     58,093.66

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PINACL DE7600801  Altana AG                        1,200.000 SHRS      48.411     58,093.66     49.292  12-31-01      59,150.40         1,056.74

PINACL DE8404005  Allianz AG
PUR   11-12-01     284966         350.000      237.065    82,972.65                                                     350     83,048.12  Allianz AG
ICA   12-10-01     287485                                     75.47                                                                          ADJ BEG BAL-PUR
                              -------------              ----------- ------------- --------------- -------------  ----------  ------------
      TOTAL -                     350.000                83,048.12          0.00            0.00          0.00         350     83,048.12
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04-23-02                                                                          Market Street Trust Company
FC3.1                                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 36
                                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS      QUANTITY   COST BASIS DESCRIPTION
----  -------- ----------      -------------  ---------- ------------- ------------- --------------- -------------  ------------ ------------ -----------
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM      AVERAGE              COST      PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      PINACL DE8404005  Allianz AG                                   350.000 SHRS      237.280         83,048.12    234.117  12-31-01       81,940.95       -1,107.17

PINACL DK10232412 Group 4 Falck A/S
PUR   04-19-01    265473              800.000     114.582     91,665.90                                                         0         0.00 Falck A/S
PUR   06-14-01    270301              800.000     117.982     94,385.66                                                         0         0.00 Group 4 Falck A/S
SAL   08-15-01    275963           -1,600.000     105.376                  168,600.80     -186,051.56    -17,450.76                                Group 4 Falck A/S
                               --------------              ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                               0.000                 186,051.56    168,600.80     -186,051.56    -17,450.76             0         0.00

PINACL DK10268606 Vestas Wind Systems A/S
PUR   04-10-01    265446            4,000.000      41.253    165,011.99                                                     4,000   165,011.99 Vestas Wind Systems
PUR   10-11-01    281745            1,400.000      33.310     46,633.47                                                     1,400    46,633.47 Vestas Wind Systems A/S
                               --------------              ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                           5,400.000                 211,645.46          0.00            0.00          0.00         5,400   211,645.46

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM      AVERAGE              COST      PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      PINACL DK10268606 Vestas Wind Systems A/S                    4,900.000 SHRS       31.706        155,358.97     27.039  12-31-01      146,010.60       -9,348.37

PINACL DK10272129 Novozymes A/S B
PUR   08-31-01    277269            4,000.000      24.140     96,559.39                                                         0         0.00 Novozymes A/S-B
SAL   11-15-01    284954           -4,000.000      18.979                   75,917.84      -96,559.39    -20,641.55                                Novozymes A/S B
                               --------------              ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                               0.000                  96,559.39     75,917.84      -96,559.39    -20,641.55             0         0.00

PINACL DK10272392 Novo Nordisk A/S-B
PUR   04-10-01    265445            2,000.000      38.346     76,691.26                                                         0         0.00 Novo-Nordisk
PUR   06-14-01    270300            2,000.000      42.657     85,313.02                                                         0         0.00 Novo Nordisk A/S B
SAL   11-16-01    284953           -4,000.000      35.915                  143,660.25     -162,004.28    -18,344.03                                Novo Nordisk A/S B
                               --------------              ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                               0.000                 162,004.28    143,660.25     -162,004.28    -18,344.03             0         0.00

PINACL DK10287234 H. Lundbeck A/S
PUR   08-24-01    275962            4,500.000      35.838    161,273.22                                                         0         0.00 H. Lundbeck A/S
SAL   09-25-01    279000           -4,500.000      20.502                   92,260.16     -161,273.22    -69,013.06                                H.Lundbeck A/S
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ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		0.000		161,273.22	92,260.16	-161,273.22	-69,013.06	0	0.00	
PINACL DOX		AMDOCS LTD									
PUR	04-05-01	263102	2,600.000	45.000	117,208.00				0	0.00	Amdocs LTD @45.00
PUR	06-14-01	270287	1,000.000	59.100	59,370.00				0	0.00	AMDOCS LTD @59.30
SAL	07-20-01	273348	-1,940.000	38.006		73,692.41	-87,555.20	-13,862.79			AMDOCS LTD @38.0055
SAL	09-25-01	280204	-1,660.000	27.737		46,043.04	-89,122.80	-43,079.76			AMDOCS LTD
PUR	11-20-01	285286	1,700.000	33.642	57,311.14				1,700	57,311.14	AMDOCS LTD @33.642437
	TOTAL -		1,700.000		233,889.14	119,735.45	-176,678.00	-56,942.55	1,700	57,311.14	
PINACL ELN		Elan PLC A/D/R									
PUR	06-11-01	266530	1,720.000	53.567	92,259.59				1,720	92,259.59	Elan PLC @53.567
PUR	10-10-01	281374	1,500.000	46.900	70,350.00				1,500	70,350.00	Elan PLC A/D/R
	TOTAL -		3,220.000		162,609.59	0.00	0.00	0.00	3,220	162,609.59	

PINACL ERS Embraer-Empresa Brasileira
CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL ERS Embraer-Empresa Brasileira	4,300.000 SHRS	23.029	99,026.99				-99,026.99

PINACL ES0113900J Banco Santander Central Hisp

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
CNVTO	07-03-01	273678	10,000.000	10.157	101,572.38				10,000	101,572.38	Name change - Banco Santander
	TOTAL -		10,000.000		101,572.38	0.00	0.00	0.00	10,000	101,572.38	

PINACL ES01434160 Gamesa

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	04-23-01	265481	3,800.000	24.419	92,793.84				0	0.00	GAMESA
SAL	09-24-01	279004	-3,800.000	12.185		46,302.98	-92,793.84	-46,490.86			Gamesa Banco Bilboa
	TOTAL -		0.000		92,793.84	46,302.98	-92,793.84	-46,490.86	0	0.00	

PINACL ES01626010 Grupo Ferrovial
CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL ES01626010 Grupo Ferrovial	3,800.000 SHRS	21.281	80,867.77				-80,867.77

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04-23-02                                                                      Market Street Trust Company
FC3.3                                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                     PAGE 38
                                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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PINACL ES12707011 Grupo Dragados SA
PUR   04-17-01   265457       12,000.000     23.961    143,057.54                                                    12,000    143,057.54 Grupo Dragados
                              -------------              -------------  -------------  ------------- -------------  ----------  ------------
      TOTAL -                 12,000.000               143,057.54          0.00            0.00          0.00        12,000    143,057.54

PINACL ES13211835 Banco Bilboa Vizcaya SA
PUR   04-12-01   265448       14,000.000     13.820    193,481.15                                                    14,000    193,481.15 Banco Bilbo Vizcaya
                              -------------              -------------  -------------  ------------- -------------  ----------  ------------
      TOTAL -                 14,000.000               193,481.15          0.00            0.00          0.00        14,000    193,481.15

PINACL ES1390OJ37 Banco Santander Central Hisp
PUR   04-19-01   265478       10,000.000     10.157    101,572.38                                                         0          0.00 Banco Santander Central
CNVFR 07-01-01   271678      -10,000.000      9.058                 101,572.38     -101,572.38          0.00                               Name change - Banco Santander
                              -------------              -------------  -------------  ------------- -------------  ----------  ------------
      TOTAL -                      0.000               101,572.38     101,572.38     -101,572.38          0.00             0          0.00

PINACL ES17704001 Altadis SA
PUR   10-22-01   282228        3,800.000     17.173     65,256.41                                                         0          0.00 Altadis SA
SAL   11-20-01   284972       -3,800.000     14.919                  56,693.36      -65,256.41     -8,563.05                               Altadis SA
                              -------------              -------------  -------------  ------------- -------------  ----------  ------------
      TOTAL -                      0.000                65,256.41      56,693.36      -65,256.41     -8,563.05             0          0.00

PINACL FI9000601  Nokia AB-A SHS
PUR   04-10-01   265436        3,500.000     24.967     87,386.03                                                     3,500     87,386.03 Nokia AB A Fim
PUR   10-11-01   281763        3,500.000     19.306     67,570.88                                                     3,500     67,570.88 Nokia AB-A
                              -------------              -------------  -------------  ------------- -------------  ----------  ------------
      TOTAL -                  7,000.000               154,956.91          0.00            0.00          0.00         7,000    154,956.91

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FI9000601  Nokia AB-A SHS                10,700.000 SHRS     21.845     233,743.98    35.369  12-31-01     177,583.00      -56,160.98

PINACL FMX        Fomento Economico Mexicano S A
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FMX        Fomento Economico Mexicano S A  2,200.000 SHRS     38.914      85,611.24    34.550  12-31-01           0.00      -85,611.24
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04-23-02
FC1.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION									REMAINING	REMAINING	
TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	QUANTITY	COST BASIS	DESCRIPTION
PINACL	FR120628	AXA-UAP									
PUR	04-06-01	265431	1,200.000	113.868	136,441.46				4,800	136,641.46	AXA-UAP
SPLDV	05-18-01	266789	3,600.000		0.00				0	0.00	AXA-UAP 4 for 1 stock split
PUR	10-05-01	281433	3,200.000	20.387	66,238.54				3,200	66,238.54	AXA-UAP
	TOTAL -		8,000.000		201,880.00	0.00	0.00	0.00	8,000	201,880.00	
PINACL	FR120685	Natexis Banques Populaires									
PUR	04-12-01	265451	1,700.000	89.183	151,611.07				0	0.00	Natexis Banques Popula
SAL	05-11-01	266783	-233.000	85.997		20,037.28	-20,779.63	-742.35			Natexis Banques Populaires
SAL	05-14-01	266784	-1,467.000	85.531		125,473.63	-130,831.44	-5,357.81			Natexis Banques Populaires
	TOTAL -		0.000		151,611.07	145,510.91	-151,611.07	-6,100.16	0	0.00	
PINACL	FR121220	Sodexho Alliance SA									
PUR	04-10-01	268435	1,700.000	48.293	82,098.43				0	0.00	Sodexho Alliance
PUR	04-18-01	266463	1,500.000	49.408	74,112.39				0	0.00	Sodexho Alliance
SAL	09-26-01	279008	-3,200.000	39.883		127,625.35	-156,210.82	-28,585.47			Sodexho Alliance SA
	TOTAL -		0.000		156,210.82	127,625.35	-156,210.82	-28,585.47	0	0.00	
PINACL	FR121220R	Sodexho Alliance SA-Rights									
PUR	07-02-01	273133	3,200.000	0.000	0.00				0	0.00	Sodexho Alliance - Rights
SAL	07-02-01	275150	-3,200.000	0.794		2,541.88	0.00	2,541.88			Sale of Sodexho Rights
	TOTAL -		0.000		0.00	2,541.88	0.00	2,541.88	0	0.00	
PINACL	FR124141	Vivendi Environment									
PUR	04-06-01	268433	3,500.000	45.329	158,652.89				0	0.00	Vivendi Environment
SAL	12-06-01	287487	-3,500.000	33.928		118,738.52	-158,652.89	-39,914.37			Vivendi Environment
	TOTAL -		0.000		158,652.89	118,738.52	-158,652.89	-39,914.37	0	0.00	
PINACL	FR125684	Zodiac S A									
PUR	04-18-01	265466	400.000	247.936	99,174.55				0	0.00	Zodiac SA
CNVTO	07-05-01	273137	400.000	237.447	94,978.68				0	0.00	Name Change - Zodiac SA

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ENTITY INVESTMENT DESCRIPTION                                                                             REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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SAL   09-10-01     278274          -160.000    197.175                   70,983.01    -89,257.10    -18,274.09                            Zodiac S A
SAL   09-25-01     279005          -440.000    123.499                   54,339.54   -104,896.13    -50,556.59                            Zodiac S A
                               ------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                         0.000               194,153.23    125,322.55   -194,153.23    -68,030.[illegible]   0          0.00

PINACL FR1256848  Zodiac SA
PUR   04-10-01     265437           400.000    237.447     94,978.68                                                     0          0.00  Zodiac SA
CNVFR 07-05-01     273137          -400.000    242.804                   94,978.68    -94,978.68          0.00                            Name Change - Zodiac SA
                               ------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                         0.000                94,978.68     94,978.68    -94,978.68          0.00           0          0.00

PINACL FR130460   Aventis SA
PUR   04-06-01     265430         1,500.000     81.840    122,758.55                                                     0          0.00  Aventis S A
PUR   04-11-01     265491         1,000.000     81.481     81,481.14                                                     0          0.00  Aventis
SAL   11-19-01     284983        -2,500.000     70.081                  175,203.13   -204,240.69    -29,037.56                            Aventis SA
                               ------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                         0.000               204,240.69    175,203.13   -204,240.69    -29,037.56           0          0.00

PINACL FR130577   Publicis Groupe
PUR   11-21 01     285302         3,400.000     26.031     86,104.12                                                 3,400     86,104.12  Publicis Groupe
                               ------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                     3,400.000                85,104.12          0.00          0.00          0.00       3,400     85,104.12

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FR130577  Publicis Groupe             5,500.000 SHRS       26.363    144,998.22     26.489 12-31-01      90,062.60      -54,935.62

PINACL FR130650   Dassault Systems S A
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM      AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FR130650  Dassault Systems S A        1,500,000 SHRS       47.362     71,043.44                                            -71,043.44

PINACL FR130809   Societe Generale Paris
PUR   04-06-01     265432         2,000.000     63.467    126,933.20                                                 2,000    126,933.20  Societe Generate
PUR   04-18-01     265465         1,800.000     63.437    114,185.77                                                 1,800    114,185.77  Societe Generale
                               ------------             ------------  ------------  ------------  ------------  ----------  ------------
      TOTAL -                     3,800.000               241,118.97          0.00          0.00          0.00       3,800    241,118.97
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04-23-02                                                                              Market Street Trust Company                                                          PAGE 41
FC3.3                                                                         PURCHASE / SALE DETAIL HISTORY REPORT
                                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS     QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM       AVERAGE            COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FR130809  Societe Generale Paris                  3,800.000 SHRS      63.452      241,118.97    54.495 12-31-01     207,081.00      -34,037.97

PINACL FR131104   BNP Paribas
PUR   04-12-01     265447        2,300.000     86.480    198,904.85                                                  2,300   198,904.85 BNP Paribas
                             --------------            ------------- ------------- --------------- -------------   ---------- ------------
      TOTAL -                    2,300.000               198,904.85          0.00            0.00          0.30        2,300   198,904.85

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM       AVERAGE            COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FR131104  BNP Paribas                             4,600.000 SHRS      43.240      198,904.85    89.485 12-31-01     205,815.50        6,910.65

PINACL FR34639    Altran Technologies SA
PUR   11-20-01     284967        1,800.000     48.170     86,706.85                                                  1,800    86,706.85 Altran Technologies SA
                             --------------            ------------- ------------- --------------- -------------   ---------- ------------
      TOTAL -                    1,800.000                86,706.85          0.00            0.00          0.00        1,800    86,706.85

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM       AVERAGE            COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL FR34639   Altran Technologies SA                  3,000.000 SHRS      49.372      148,127.11    45.188 12-31-01      81,338.40      -66,778.71

PINACL FR53935    Bonduelle S.C.A.
PUR   05-03-01     256789        4,200.000     32.491    136,461.09                                                      0         0.00 Bonduelle S.C.A.
SAL   11-20-01     284970         -327.000     41.387                  13,533.53      -10,624.47      2,909.06                          Bonduelle S.C.A.
SAL   11-21-01     285297       -1,500.000     40.699                  61,047.77      -48,736.10     12,311.67                          Bonduelle S.C.A.
SAL   11-23-01     285298       -1,000.000     40.293                  40,292.79      -32,490.74      7,802.05                          Bonduelle S.C.A.
SAL   11-26-01     285299         -910.000     39.847                  36,260.44      -29,566.57      6,693.87                          Bonduelle S.C.A.
SAL   11-27-01     285100         -463.000     40.505                  18,753.99      -15,043.21      3,710.78                          Bonduelle S.C.A.
                             --------------            ------------- ------------- --------------- -------------   ---------- ------------
      TOTAL -                        0.000               136,461.09    169,888.62     -136,461.09     33,427.42            0         0.00

PINACL FR64941    Marionnaud Parfumeries
PUR   05-21-01     267198        1,200.000    120.258    144,309.94                                                      0         0.00 Marionnaud Parfumeries
SPLDV 07-25-01     273360        1,200.000                     0.00                                                      0         0.00 Stock dividend-Marionnaud Parf
SAL   08-01-01     275452       -2,400.000     48.055                 115,332.95     -144,309.94    -28,976.99                          Marionnaud Parfumeries
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ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
----  -------- ----------     -------------  ---------  ------------ ------------- --------------- -------------  ----------  ------------ -----------

      TOTAL -                         0.000               144,309.94    115,332.95     -144,309.94    -28,976.99           0          0.00

PINACL FR501654   Rights-Marionnaud Parfumeries
PUR   06-21-01    272071          1,200.000      0.000          0.00                                                       0          0.00 Rights - Marionnaud Parfume
SAL   07-03-01    273135         -1,200.000      0.634                      760.39            0.00        760.39                             Rights-Marionnaud Parfumeries
                              -------------             ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000                     0.00        760.39            0.00        760.39           0          0.00

PINACL G3223R108  Everest RE Group LTD
PUR   06-13-01    270286            800.000     72.001     57,600.96                                                     800     57,600.96 Everest RE Group LTD
                              -------------             ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                       800.000                57,600.96          0.00            0.00          0.00         800     57,600.96

PINACL GB1282697  AMVESCAP PLC
PUR   10-04-01    281457          6,800.000     12.086     82,182.18                                                   6,800     82,182.18 AMVESCAP PLC
                              -------------             ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                     6,800.000                82,182.18          0.00            0.00          0.00       6,800     82,182.18

PINACL GB2374006  Diageo PLC
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      PINACL GB2374006  Diageo PLC                     5,300.000 SHRS      13.089     69,373.52     10.934  12-31-01          0.00      -69,373.52

PINACL GB2566106  AMEY PLC
PUR   04-18-01    265470         20,000.000      6.041    120,811.05                                                       0          0.00 AMEY PLC
SAL   04-26-01    266492        -20,000.000      5.460                  109,203.99     -120,811.05    -11,607.06                             Amey PLC
                              -------------             ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000               120,811.05    109,203.99     -120,811.05    -11,607.06           0          0.00

PINACL GB2944058  Man Group PLC
PUR   04-23-01    265490         11,000.000     12.715    139,862.71                                                       0          0.00 Man Group PLC
SAL   07-19-01    273358        -11,000.000     11.891                  130,802.54     -139,862.71     -9,060.17                             Man Group PLC
                              -------------             ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000               139,862.71    130,802.54     -139,862.71     -9,060.17           0          0.00

PINACL GB3857850  MISYS PLC
PUR   04-19-01    266474         12,200.000      8.514    103,875.60                                                       0          0.00 MISYS PLC
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                                                                Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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SAL  09-20-01     279001        -12,200.000      3.110                  37,940.72     -103,875.58    -65,934.86                          MISYS PLC
                             --------------            ------------ ------------- --------------- ------------- ----------- ------------
     TOTAL -                          0.000              103,875.58     37,940.72     -103,875.58    -65,934.86           0         0.00

PINACL GB4082847  Standard Chartered PLC
PUR  11-20-01     285296          7,000.000     12.185    85,291.99                                                   7,000    85,291.99 Standard Chartered PLC
                             --------------            ------------ ------------- --------------- ------------- ----------- ------------
     TOTAL -                      7,000.000               85,291.99          0.00            0.00          0.00       7,000    85,291.99

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
     PINACL GB4082847  Standard Chartered PLC           7,000.000 SHRS       12.185      85,291.99     11.934 12-31-01      83,538.00       -1,753.99

PINACL GB5203376  Jardine Lloyd Thompson
PUR  04-20-01     265479         19,000.000      7.376   140,146.83                                                  10,000    73,761.49 Jardine Lloyd Thompson
SAL  06-19-01     270563         -5,600.000      6.565                  36,762.83      -41,306.43     -4,543.60                          Jardine Lloyd Thompson Group
SAL  07-12-01     271129         -3,400.000      6.578                  22,363.56      -25,078.91     -2,715.35                          Jardine Lloyd Thompson Group
                             --------------            ------------ ------------- --------------- ------------- ----------- ------------
     TOTAL -                     10,000.000              140,146.83     59,126.39      -66,385.34     -7,258.95      10,000    73,761.49

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
     PINACL GB5203376  Jardine Lloyd Thompson          10,000.000 SHRS        7.376      73,761.49      8.972 12-31-01      89,720.00       15,958.51

PINACL GB5405286  HSBC Holdings PLC
PUR  05-01-01     266763          7,100.000     13.182    93,594.37                                                   7,100    93,594.37 HSBC Holdings PLC
PUR  08-07-01     275460          5,300.000     11.863    62,873.95                                                   5,300    62,873.95 HSBC Holdings PLC
PUR  10-04-01     281456          3,300.000     11.076    36,551.31                                                   3,300    36,551.31 HSBC Holdings PLC
                             --------------            ------------ ------------- --------------- ------------- ----------- ------------
     TOTAL -                     15,700.000              193,019.63          0.00            0.00          0.00      15,700   193,019.63

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
     PINACL GB5405286  HSBC Holdings PLC                6,000.000 SHRS       11.430      68,581.44     11.702 12-31-01     183,721.40      115,139.96

PINACL GB7998031  Shire Pharmaceuticals Group
PUR  04-11-01     265442         10,100.000     15.618   157,745.93                                                  10,100   157,745.93 Shire Pharmaceuticals
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	TOTAL -		10,100.000		137,745.93	0.00	0.00	0.00	10,100	137,745.93	
PINACL GB09223206 Smith & Nephew PLC											
PUR	07-18-01	273357	12,000.000	5.092	61,103.88				0	0.00	Smith & Nephew PLC
PUR	10-10-01	281458	5,800.000	5.270	30,567.47				0	0.00	Smith & Nephew PLC
PUR	10-11-01	281773	5,000.000	5.322	26,610.02				0	0.00	Smith & Nephew PLC
SAL	11-20-01	284973	-22,800.000	4.929		112,389.17	-118,281.35	-5,892.18			Smith & Nephew PLC
	TOTAL -		0.000		118,281.35	112,389.17	-118,281.35	-5,892.18	0	0.00	
PINACL GB09895292 Astrazeneca PLC											
PUR	04-10-01	265440	2,400.000	50.473	121,135.73				0	0.00	Astrazeneca
CNVFR	07-01-01	273128	-2,400.000	46.504		121,135.73	-121,135.73	0.00			Astrazeneca PLC name change
	TOTAL -		0.000		121,135.73	121,135.73	-121,135.73	0.00	0	0.00	
PINACL GB09898292B Astrazeneca PLC											
PUR	04-17-01	265458	2,400.000	48.230	115,752.50				0	0.00	Astrazeneca
SAL	04-27-01	265496	-1,000.000	46.712		46,712.33	-48,230.21	-1,517.88			Astrazeneca PLC
CNVTO	07-01-01	273128	2,400.000	50.473	121,135.73				0	0.00	Astrazeneca PLC name change
SAL	11-19-01	284976	-3,800.000	44.838		170,374.52	-188,658.02	-18,283.50			Astrazeneca PLC
	TOTAL -		0.000		236,888.23	217,086.85	-236,888.23	-19,801.38	0	0.00	
PINACL HK02030095 Denway Motors Limited											
PUR	06-05-01	269643	242,000.000	0.402	97,243.71				0	0.00	Denway Motors Limited
PUR	06-14-01	270202	200,000.000	0.341	68,273.47				0	0.00	Denway Motors Limited
SAL	08-06-01	275461	-442,000.000	0.280		123,855.38	-165,517.18	-41,661.83			Denway Motors Limited
	TOTAL -		0.000		165,517.18	123,855.35	-165,517.18	-41,661.83	0	0.00	

PINACL HK10970089 I-Cable communications LTD

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL HK10970089 I-Cable communications LTD	131,000.000 SHRS	0.663	86,886.80				-86,886.80

PINACL HK66900219 Techtronic Industries Co

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ENTITY INVESTMENT DESCRIPTION                                                                            REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE            COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL HK66900219 Techtronic Industries Co       152,000.000 SHRS      0.726      110,341.69                                         -110,341.69

PINACL HK76200941 China Unicom
PUR   07-09-01    273130         58,000.000      1.746   101,360.39                                                    0          0.00 China Unicom
SAL   08-21-01    276260        -58,000.000      1.279                   74,135.28     -101,360.39    -27,225.11                           China Unicom
PUR   11-20-01    284960         70,000.000      1.198    83,867.00                                               70,000     83,867.00 China Unicom
                             --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    70,000.000               185,227.39     74,135.28     -101,360.39    -27,225.11      70,000     83,867.00

PINACL HSBL       Hang Seng Bank
PUR   04-19-01    265467         12,000.000     12.240   146,875.74                                               12,000    146,875.74 Hang Seng
                             --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    12,000.000               146,875.74          0.00            0.00          0.00      12,000    146,875.74

PINACL IE197834   Allied Irish Banks
PUR   10-11-01    281779          7,500.000     16.064    74,960.74                                                7,500     74,960.74 Allied Irish Banks
PUR   10-11-01    283437          7,500.000     16.064   120,481.51                                                    0          0.00 Allied Irish Bank
SAL   10-11-01    283438         -7,500.000     15.916                  119,369.63     -120,481.51     -1,111.88                           Correct Allied Irish Bk purch.
PUR   10-18-01    282236          8,200.000     10.252    84,063.87                                                8,200     84,063.87 Allied Irish Banks PLC
                             --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    15,700.000               279,506.12    119,369.63     -120,481.51     -1,111.88      15,700    159,024.61

PINACL IE1987894  ANGLO Irish Bank Corp PLC
PUR   04-09-01    265439         45,000.000      3.156   142,005.51                                               45,000    142,005.51 Anglo Irish Bank
                             --------------           ------------ ------------- --------------- -------------  ----------  ------------
      TOTAL -                    45,000.000               142,005.51          0.00            0.00          0.00      45,000    142,005.51

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE            COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL IE1987894  ANGLO Irish Bank Corp PLC       22,800.000 SHRS      3.156       71,949.46       7.643 12-31-01    174,268.00      102,318.54

PINACL IE30606259 Bank of Ireland
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE            COST       PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL IE30606259 Bank of Ireland                  5,400.000 SHRS     11.196       60,456.13                                          -60,456.13
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04-23-02                                                           Market Street Trust Company                                              PAGE 46
FC3.3                                                         PURCHASE / SALE DETAIL HISTORY REPORT
                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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PINACL IT1254884  Banca Nazionale Lavoro-Ord
PUR   04-17-01    266456      45,000.000     3.211    144,473.28                                                       0        0.00 Banca Nazionale Lavor
PUR   06-14-01    270311      40,000.000     3.311    132,459.22                                                       0        0.00 Banca Nazionale Lavoro-Ord
SAL   12-13-01    289616     -85,000.000     2.112                   179,511.23     -276,932.50    -97,421.27                        Banca Nazionale
                               ------------           ------------- ------------- --------------- -------------  ---------  ----------
      TOTAL -                      0.000              276,932.50    179,511.23     -276,932.50    -97,421.27          0        0.00

PINACL IT1275801  Mediolanum SPA
PUR   04-20-01    265476       7,600.000    12.135     92,225.74                                                       0        0.00 Mediolanum SPA
SAL   09-07-01    278273      -7,600.000     8.960                    68,160.25      -92,225.74    -24,065.49                        Medilanum SPA
PUR   11-21-01    285301       7,800.000     8.989     70,117.48                                                   7,800   70,117.48 Mediolanum SPA
                               ------------           ------------- ------------- --------------- -------------  ---------  ----------
      TOTAL -                  7,800.000              162,343.22     68,160.25      -92,225.74    -24,065.49      7,800   70,117.48

PINACL IT1464921  BIPOP-CARIRO
PUR   04-23-01    265486      22,000.000     5.259    115,705.07                                                       0        0.00 BIPOP-CARIRO
SAL   08-06-01    266782     -22,000.000     4.825                   106,101.39     -115,705.07     -9,603.68                        Bipop-Carire SPA
                               ------------           ------------- ------------- --------------- -------------  ---------  ----------
      TOTAL -                      0.000              115,705.07    106,101.39     -115,705.07     -9,603.68          0        0.00

PINACL IT1467064  Saeco International Group
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL IT1467064  Saeco International Group      15,400.000 SHRS      2.746     42,283.90                                          -42,283.90

PINACL IT242948   Autostrade SPA
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                    QUANTITY UOM       AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL IT243948   Autostrade SPA                 12,600.000 SHRS      7.094     89,386.29                                          -89,386.29

PINACL IT3074447  Recordati SPA
PUR   07-10-01    273140       5,000.000    15.346     76,728.59                                                   5,000   76,728.59 Recordati SPA
                               ------------           ------------- ------------- --------------- -------------  ---------  ----------
      TOTAL -                  5,000.000               76,728.59          0.00            0.00          0.00      5,000   76,728.59
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                                                         Market Street Trust Company
04-23-02                                              PURCHASE / SALE DETAIL HISTORY REPORT                                            PAGE 47
FC1.3                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY     COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST       PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL IT3074447  Recordati SPA                     5,000.000 SHRS       15.346       76,728.59      19.927  12-31-01       99,635.00       22,906.41

PINACL IT3106777  Benetton Group S.P.A.
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST       PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL IT3106777  Benetton Group S.P.A.             5,100.000 SHRS       13.963       71,210.71                                                -71,210.71

PINACL IT62826    R A S Spa
PUR   04-12-01     265449          5,000.000     12.830     64,151.54                                                         5,000      64,151.54  RAS SPA
CNVTO 07-06-01     273138          7,000.000     12.691     88,839.85                                                         7,000      88,839.85  Name Change - RAS SPA
                               -------------             ------------- ------------- --------------- -------------  ------------ --------------
      TOTAL -                     12,000.000               152,991.39          0.00            0.00          0.00        12,000     152,991.39

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST       PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL IT62826    R A S Spa                        12,000.000 SHRS       12.749      152,991.39      11.755  12-31-01      141,060.00      -11,931.39

PINACL IT628258   RAS Spa
PUR   04-10-01     265438          7,000.000     12.691     88,839.85                                                             0           0.00  RAS SPA
CNVFR 07-05-01     273138         -7,000.000     12.333                   88,839.85      -88,839.85          0.00                                  Name Change - RAS SPA
                               -------------             ------------- ------------- --------------- -------------  ------------ --------------
      TOTAL -                          0.000                88,839.85     88,839.85      -88,839.85          0.00             0           0.00

PINACL IT64854    Unicredito Italiano Spa
PUR   04-11-01     265401         33,200.000      4.613    153,167.35                                                             0           0.00  Unicredito Italiano
PUR   04-12-01     265450         10,000.000      4.643     46,430.53                                                             0           0.00  Unicredito Italiano
SAL   09-05-01     270272        -43,200.000      3.805                  164,369.75     -199,597.88    -35,228.13                                  Unicredito Italiano SPA
                               -------------             ------------- ------------- --------------- -------------  ------------ --------------
      TOTAL -                          0.000               199,597.88    164,369.75     -199,597.88    -35,228.13             0           0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM       AVERAGE            COST       PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL IT64854    Unicredito Italiano Spa          21,250.000 SHRS        4.498       95,524.40       4.405  08-31-01            0.00      -95,524.40

PINACL IT82963    Banca Fideuram SPA
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                                                                                                   Market Street Trust Company
04-23-02                                                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                                                         PAGE 48
PC3.3                                                                                        BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                              REMAINING      REMAINING
TYPE TXN DATE TXN NUMBER                QUANTITY        PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS     QUANTITY     COST BASIS  DESCRIPTION
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PUR  04-23-01    268482               10,000.000       11.376    113,745.46                                                   10,000     113,745.46  Banca Fideuram
PUR  10-05-01    281436                6,200.000        6.685     41,445.73                                                    6,200      41,445.73  Banca Fideuram SPA
                                  --------------             -------------- ------------- --------------- ------------- ------------ --------------
     TOTAL -                          16,200.000                 155,191.19          0.00            0.00          0.00       16,200     155,191.19

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM       AVERAGE               COST       PRICE   DATE    MARKET VALUE  UNREALIZED G/L
     PINACL IT02961   Banca Fideuram SPA                         16,200.000 SHRS        9.580         155,191.19       8.019   12-11-01  129,907.80      -25,283.39

PINACL JP310804   Aiful Corp
PUR  06-08-01    266799                1,000.000      106.136    106,136.38                                                        0           0.00  Aiful Corp
SAL  09-28-01    280207               -1,000.000       82.113                   82,112.90     -106,136.38    -24,023.48                              Aiful Corp
                                  --------------             -------------- ------------- --------------- ------------- ------------ --------------
     TOTAL -                               0.000                 106,136.38     82,112.90     -106,136.38    -24,023.48            0           0.00

PINACL JP31224    Advantest Corp
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM       AVERAGE               COST       PRICE   DATE    MARKET VALUE  UNREALIZED G/L
     PINACL JP31224   Advantest Corp                              1,200.000 SHRS       74.475          89,370.01                                         -89,370.01

PINACL JP31314    AEON Credit Service Co
PUR  06-26-01    270649                1,200.000       61.816     74,179.00                                                    1,200      74,179.00  AEON Credit Service Co
                                  --------------             -------------- ------------- --------------- ------------- ------------ --------------
     TOTAL -                           1,200.000                  74,179.00          0.00            0.00          0.00        1,200      74,179.00

PINACL JP3143     Ito En LTD
PUR  10-11-01    281863                1,500.000       53.066     79,599.49                                                    1,500      79,599.49  Ito En LTD
                                  --------------             -------------- ------------- --------------- ------------- ------------ --------------
     TOTAL -                           1,500.000                  79,599.49          0.00            0.00          0.00        1,500      79,599.49

PINACL JP316565   NTT Docomo Inc
PUR  05-08-01    266800                    4.000   22,716.785     90,867.14                                                        0           0.00  NTT Docomo Inc
SAL  07-24-01    273729                   -4.000   13,701.468                   54,805.87      -90,867.14    -36,061.27                              NTT Docomo Inc
                                  --------------             -------------- ------------- --------------- ------------- ------------ --------------
     TOTAL -                               0.000                  90,867.14     54,805.87      -90,867.14    -36,061.27            0           0.00

PINACL JP34004    Sumisho Computer Systems Corp
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	05-07-01	266797	1,400.000	18.506	25,908.93				0	0.00	Sumisho Computer Systems Corp
SAL	07-18-01	273361	-1,400.000	33.531		46,943.89	-25,908.93	21,034.96			Sumisho Computer Systems Corp
	TOTAL -		0.000		25,908.93	46,943.89	-25,908.93	21,034.96	0	0.00	
FINACL JP3419		Sega Corporation									
PUR	05-22-01	287166	2,000.000	23.659	47,317.15				0	0.00	SEGA Corporation
SAL	07-24-01	273733	-2,000.000	15.229		30,457.32	47,317.15	-16,859.83			Sega Corporation
	TOTAL -		0.000		47.317.18	30.457.32	-47,317.15	-16,859.83	0	0.00	
FINACL JP34752		Daiichikosho Co LTD									
PUR	10-11-01	281857	2,000.000	22.854	45,708.61				2,000	45,708.61	Daiichikosho Co LTD
	TOTAL -		2,000.000		45,708.61	0.00	0.00	0.00	2,000	45,708.61	
FINACL JP363965		Don Quijote Company LTD									
PUR	04-30-01	265495	1,100.000	79.006	86,906.38				0	0.00	Don Quijote Company
SAL	06 19 01	270564	-1,100.000	59.404		65,349.08	-86,906.38	-21,557.33			Don Quijote Company LTD
	TOTAL -		0.000		86,906.38	65,349.06	-86,906.38	-21,557.33	0	0.00	
FINACL JP36724		Nissan Motor Co LTD									
PUR	06-08-01	266798	12,000.000	7.124	85,486.77				0	0.00	Nissan Motor Co LTD
SAL	08-31-01	277267	-12,000.000	5.808		69,692.98	-85,486.77	-15,793.79			Nissan Motors Co
	TOTAL -		0.000		85,486.77	69,692.98	-85,486.77	-15,793.79	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
FINACL JP36724 Nissan Motor Co LTD	17,000.000 SHRS	7.066	120,118.67	5.586	08-31-01	0.00	-120,118.67

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
FINACL JP37626		Nomura Securities									
PUR	04-30-01	265494	5,000.000	21.286	105,586.46				0	0.00	Nomura Securities Co LTD
SAL	07-12-01	273131	-5,000.000	17.280		86,401.06	-105,586.46	-19,185.40			Nomura Securities Co
	TOTAL -		0.000		105,586.46	86,401.06	-105,586.46	-19,185.40	0	0.00	

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04-23-02                                                  Market Street Trust Company
FC1.3                                               PURCHASE / SALE DETAIL HISTORY REPORT
                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY     COST BASIS  DESCRIPTION
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PINACL JP38023   Fast Retailing Co LTD
PUR   04-19-01    265475           500.000    219.626    109,812.79                                                       0          0.00  Fast Retailing Co LTD
PUR   04-23-01    269486           500.000    210.926    106,463.16                                                       0          0.00  Fast Retailing Co.
SAL   08-27-01    276261        -1,000.000    119.676                  119,676.48    -215,275.95    -95,599.47                               Fast Retailing Co LTD
                              -------------             ------------  ------------ --------------- -------------  -----------  -----------
      TOTAL -                        0.000               215,275.95    119,676.48    -215,275.95    -95,599.47            0          0.00

PINACL JP303566  Belluna Co LTD
PUR   05-07-01    266794           800.000     77.907     62,325.24                                                     800     62,325.24  Belluna Co LTD
PUR   05-08-01    266795           700.000     34.441     24,108.88                                                     700     24,108.88  Belluna Co LTD
PUR   06-09-01    266796         2,000.000     35.487     70,974.11                                                   2,000     70,974.11  Belluna Co LTD
                              -------------             ------------  ------------ --------------- -------------  -----------  -----------
      TOTAL -                    3,500.000               157,408.23          0.00           0.00          0.00        3,500    157,408.23

PINACL JP384325  Hokuto Corp
PUR   10-11-01    281861         1,300.000     42.237     54,908.51                                                   1,300     54,908.51  Hokuto Corp
                              -------------             ------------  ------------ --------------- -------------  -----------  -----------
      TOTAL -                    1,300.000                54,908.51          0.00           0.00          0.00        1,300     54,908.51

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL JP384325  Hokuto Corp                   1,300.000 SHRS        42.237     54,908.61    34.641  12-31-01        45,033.30       -9,875.21

PINACL JP30546   Honda Motor LTD
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL JP38546   Honda Motor LTD               2,500.000 SHRS        42.337    105,842.07                                          -105,842.07

PINACL JP3869    Matsumotokiyoshi Co LTD
PUR   10-11-01    281864         1,500.000     41.476     62,213.60                                                   1,500     62,213.60  Matsumotokiyoshi Co
                              -------------             ------------  ------------ --------------- -------------  -----------  -----------
      TOTAL -                    1,500.000                62,213.60          0.00           0.00          0.00        1,500     62,213.60

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM       AVERAGE          COST     PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      PINACL JP3869    Matsumotokiyoshi Co LTD       1,500.000 SHRS        41.476     62,213.60    35.327  12-31-01        52,990.50       -9,223.10
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                                                                    Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 51
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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PINACL JP394413   USB Co LTD
PUR   10-11-01    281871        2,000.000    35.050    70,100.43                                                    2,000    70,100.43  USS Co LTD
                             -------------           ------------ ------------- --------------- -------------  ----------- ------------
      TOTAL -                   2,000.000              70,100.43          0.00            0.00          0.00        2,000    70,100.43

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      PINACL JP394413   USS Co LTD                  2,000.000 SHRS      35.050     70,100.43    32.046  12-31-01      64,092.00       -6,008.43

PINACL JP39828    ROHM Company
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      PINACL JP39828    ROHM Company                  600.000 SHRS     166.806    100,083.21                                          -100,083.21

PINACL KB         Kookmin Bank A/D/R
PUR   12-04-01    287322        1,500.000    38.714    58,160.40                                                    1,590    58,160.40  Kookmin Bank @38.7736
SPLGV 12-28-01    288663           90.000                   0.00                                                        0         0.00  Kookmin Bank 6% Stock dividend
                             -------------           ------------ ------------- --------------- -------------  ----------- ------------
      TOTAL -                   1,590.000              58,160.40          0.00            0.00          0.00        1,590    58,160.40

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      PINACL KB         Kookmin Bank A/D/R          3,100.000 SHRS      40.446    125,381.84    19.900  12-31-01      61,851.00      -63,530.84

PINACL KOF        Coca-Cola FEMSA S A DE CV
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST     PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      PINACL KOF        Coca-Cola FEMSA S A DE CV   2,800.000 SHRS      21.730     60,843.16                                           -60,843.16

PINACL KYG3919S10 Global Biochem Technology
PUR   12-18-01    288742      176,000.000     0.368    64,759.93                                                  176,000    64,759.93  Global Biochem Technology
                             -------------           ------------ ------------- --------------- -------------  ----------- ------------
      TOTAL -                 176,000.000              64,759.93          0.00            0.00          0.00      176,000    64,759.93

PINACL KYG9826J10 Xinao Gas Holding LTD
PUR   11-29-01    285294      142,000.000     0.300    42,544.03                                                  142,000    42,544.03  Xinao Gas Holdings LTD
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                                                                   Market Street Trust Company
04-23-02                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 52
PC3.3                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                              REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                142,000.000                 42,544.03          0.00            0.00          0.00      142,000     42,544.03

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE            COST       PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PINACL KYG9826J10 Xinao Gas Holding LTD                142,000.000 SHRS        0.300       42,544.03       0.298  12-31-01       42,341.56          -202.47

PINACL LUX        Luxottica Group SPA
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE            COST       PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PINACL LUX        Luxottica Group SPA                    5,000.000 SHRS       17.204       86,021.00                                             -86,021.00

PINACL MXP1001110 Grupo Financiero Banamex-O
PUR   04-17-01    265459          80,000.000      2.009    160,720.97                                                          0          0.00  Grupo Financiero
SAL   05-29-01    287193         -80,000.000      2.538                   203,038.17     -160,720.97     42,317.20                                Grupo Financiero Banamex-O
                            --------------             ------------  ------------  -------------- ------------   ----------  ------------
      TOTAL -                      0.000                160,720.97    203,038.17     -160,720.97     42,317.20            0          0.00

PINACL MXP36442B  Grupo Elektra SA-CPO
PUR   04-17-01    265460         150,000.000      0.936    140,396.78                                                          0          0.00  Grupo Elektra
SAL   09-28-01    279002        -150,000.000      0.489                    73,418.00     -140,396.78    -66,978.78                                Grupo Elektra S. A.
                            --------------             ------------  ------------  -------------- ------------   ----------  ------------
      TOTAL -                      0.000                140,396.78     73,418.00     -140,396.78    -66,978.78            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE            COST       PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PINACL MXP36442B  Grupo Elektra SA-CPO                 120,000.000 SHRS        0.900      108,018.66       0.836  08-31-01            0.00      -108,018.66

PINACL MXP37162   Grupo Financiero BBVA Bancomer
PUR   04-11-01    265434         120,000.000      0.734     88,043.57                                                    120,000     88,043.57  Grupo Financiero
PUR   12-18-01    288743          50,000.000      0.932     46,578.86                                                     50,000     46,578.86  Grupo Financiero BBVA Bancomer
                            --------------             ------------  ------------  -------------- ------------   ----------  ------------
      TOTAL -                    170,000.000                134,622.43          0.00            0.00          0.00      170,000    134,622.43

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE            COST       PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PINACL MXP37162 . Grupo Financiero BBVA Bancomer       170,000.000 SHRS        0.792      134,622.43       0.910  12-31-01      154,700.00        20,077.57
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                                                                              Market Street Trust Company
04-23-02                                                                PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 51
FC1.1                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION .,                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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PINACL MXP8100810 Wal-Mart De Mexico
PUR   12-19-01     288748        23,000.000       2.691    61,891.06                                                  23,000    61,891.06 Wal-Mart De Mexico
                              -------------              ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                    23,000.000                61,891.06          0.00            0.00          0.00        23,000    61,891.06

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE           COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PINACL MXP8100810 Wal-Mart De Mexico                       54,500.000 SHRS       2.780     151,527.32       2.726 12-31-01      62,698.00      -88,829.32

PINACL NAVI        Navision Software A S
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE           COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PINACL NAVI        Navision Software A S                    2,900.000 SHRS      29.283      84,919.96                                          -84,919.96

PINACL NL300838   Fortis AMEV NV
PUR   08-03-01     275453         3,700.000      26.715    98,847.15                                                       0         0.00 Fortis NV
PUR   09-27-01     280209         1,600.000      23.273    37,236.04                                                       0         0.00 Fortis NV
CNVFR 12-20-01     288741        -5,300.000      23.141                 136,083.19     -136,083.19          0.00                          Fortis NV exchange - Fortis Gp
                              -------------              ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                         0.000               136,083.19    136,083.19     -136,083.19          0.00             0         0.00

PINACL NL301760   AEGON NV
PUR   10-12-01     281762         3,000.000      28.895    86,685.07                                                   3,000    86,685.07 AEGON NV
                              -------------              ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                     3,000.000                86,685.07          0.00            0.00          0.00         3,000    86,685.07

PINACL NL303568   ING Groep NV
PUR   04-11-01     265462         3,200.000      69.417   222,134.78                                                   6,400   222,134.78 ING Groep NV
SPLDV 07-06-01     273139         3,200.000                     0.00                                                       0         0.00 ING Groep NV 2 for 1 split
                              -------------              ------------ ------------- --------------- ------------- ------------ ------------
      TOTAL -                     6,400.000               222,134.78          0.00            0.00          0.00         6,400   222,134.78

PINACL NL331817   Koninklijke AHOLD NV
PUR   04-11-01     265483         9,300.000      31.941   297,048.67                                                   7,300   233,167.16 Koninlikje Ahold
SAL   04-27-01     265497        -2,000.000      30.539                  61,078.14      -63,881.41     -2,803.27                          Koninklijke Ahold
PUR   06-20-01     270317           146.000      19.290     2,816.39                                                     146     2,816.39 Koninklijke Ahold reinvest div
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04-23-02                                                              Market Street Trust Company
PC1.3                                                             PURCHASE / SALE DETAIL HISTORY REPORT
                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                     7,446.000              298,864.96     61,078.14      -62,881.41     -2,803.27       7,446    235,983.55

PINACL NL370179   Van Der Moolen
PUR   10-11-01     282224         5,600.000    23.867    133,657.37                                                   5,600    133,657.37  Van Der Moolen Holding N.V.
                                -----------              -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                     5,600.000              133,657.37          0.00            0.00          0.00       5,600    133,657.37

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM        AVERAGE            COST     PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PINACL NL370179   Van Der Moolen                5,600.000 SHRS       23.867      133,657.37    28.715  12-31-01     160,804.00       27,146.[illegible]

PINACL NL375400   Nutreco Holding N.V.
PUR   06-14-01     270312         3,500.000    45.929    160,751.38                                                       0          0.00  Nutreco Holding N.V.
SAL   10-09-01     281437        -3,500.000    36.352                  127,230.42     -160,751.38    -33,520.96                            Nutreco Holding N.V.
                                -----------              -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000              160,751.38    127,230.42     -160,751.38    -33,520.96           0          0.00

PINACL NL496750   AHOLD NV-STK
PUR   08-18-01     266790         7,300.000     0.000          0.00                                                       0          0.00  AHOLD NV receipt of Rights
SAL   06-13-01     272075        -7,300.000     0.000                        0.00            0.00          0.00                            AHOLD NV delivery of rights
                                -----------              -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000                    0.00          0.00            0.00          0.00           0          0.00

PINACL NL497915   RTS-Nutreco Holdings
PUR   08-13-01     275454         3,500.000     0.000          0.00                                                   3,500          0.00  Receipt of Nutreco Rights
                                -----------              -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                     3,500.000                    0.00          0.00            0.00          0.00       3,500          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM        AVERAGE            COST     PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      PINACL NL497915   RTS-Nutreco Holdings          3,500.000 SHRS        0.000            0.00     0.000  12-31-01           0.00             0.00

PINACL NL497880   AHOLD NV-STK - Rights
PUR   09-05-01     278271         7,446.000     0.000          0.00                                                   7,446          0.00  AHOLD NV-STK - Rights
                                -----------              -------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                     7,446.000                    0.00          0.00            0.00          0.00       7,446          0.00
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                                                                    Market Street Trust Company
04-23-02                                                         PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION...                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL NL497980   AHOLD NV-STK - Rights                7,446.000 SHRS       0.000           0.00      0.000 12-31-01          0.00           0.00

PINACL NL498376   Rights-Moolen Van Der
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL NL498376   Rights-Moolen Van Der                5,600.000 SHRS       0.000           0.00                                             0.00

PINACL NO3078800  TGS Nopec Geophysical Co ASA
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL NO3078800  TGS Nopec Geophysical Co ASA         5,300.000 SHRS      15.697      83,196.58                                        -83,196.58

PINACL NO5620856  Tandberg ASA
PUR   08-03-01     275462             9,800.000     15.979    156,597.43                                                    9,800   156,597.43  Tandberg ASA
                                  -------------             ------------ ------------- --------------- -------------  ----------  -----------
      TOTAL -                         9,800.000               156,597.43          0.00            0.00          0.00        9,800   156,597.43

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL NO5620856  Tandberg ASA                        14,000.000 SHRS       7.990     111,855.31     22.938 12-31-01    223,812.40     111,957.09

PINACL NO5668905  Tomra Systems ASA
PUR   04-10-01     265444             7,000.000     16.034    112,241.37                                                    7,000   112,241.37  Tomra Systems AS
                                  -------------             ------------ ------------- --------------- -------------  ----------  -----------
      TOTAL -                         7,000.000               112,241.37          0.00            0.00          0.00        7,000   112,241.37

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      PINACL NO5668905  Tomra Systems ASA                   12,800.000 SHRS       8.271     105,862.52      9.519 12-31-01     66,633.00     -39,229.52

PINACL NO6390103  Union Bank of Norway
PUR   04-18-01     265471             3,000.000     29.554     88,662.43                                                        0         0.00  Union Bank of Norway
PUR   04-23-01     266485             3,000.000     29.220     87,661.41                                                        0         0.00  Union Bank of Norway
SAL   05-09-01     268354            -6,000.000     27.002                  162,011.40     -176,323.84    -14,312.44                             Union Bank of Norway
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                                                                              Market Street Trust Company
04-23-02                                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                PAGE 34
PC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                           REMAINING    REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY   COST BASIS DESCRIPTION
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     TOTAL -                          0.000                176,323.84    162,011.40     -176,323.84    -14,312.44            0         0.00

PINACL OPIX      Orthofix International N.V.
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE          COST       PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     PINACL OPIX      Orthofix International N.V.                1,590.000 SHRS      36.551      58,115.45                                          -58,115.45

PINACL PUMA      PUMA AG
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE          COST       PRICE  DATE      MARKET VALUE  UNREALIZED G/L
     PINACL PUMA      PUMA AG                                    1,700.000 SHRS      41.747      70,970.10                                          -70,970.10

PINACL Pierpont  J.P. Morgan Funds
PUR  04-03-01    263100      10,000,000.000       1.000 10,000,000.00                                                                  0         0.00 Federal Money Market Sweep Fd
PUR  04-04-01    263101          40,000.000       1.000     40,000.00                                                                  0         0.00 Federal Money Market Sweep Fd
SAL  04-10-01    263106        -368,905.500       1.000                  368,905.50     -368,905.50          0.00                                   Federal Money Market Sweep Fd
SAL  04-11-01    263107        -544,987.100       1.000                  544,987.10     -544,987.10          0.00                                   Federal Money Market Sweep Fd
SAL  04-16-01    263108         -88,043.570       1.000                   88,043.57      -88,043.57          0.00                                   Federal Money Market Sweep Fd
SAL  04-17-01    263109        -616,444.230       1.000                  616,444.23     -616,444.23          0.00                                   Federal Money Market Sweep Fd
SAL  04-18-01    263110        -828,737.460       1.000                  828,737.46     -828,737.46          0.00                                   Federal Money Market Sweep Fd
SAL  04-19-01    263111      -2,155,413.110       1.000                2,155,413.11   -2,155,413.11          0.00                                   Federal Money Market Sweep Fd
SAL  04-20-01    263810            -908.420       1.000                      908.42         -908.42          0.00                                   Federal Money Market Sweep Fd
SAL  04-23-01    263811      -1,569,655.830       1.000                1,569,655.83   -1,569,655.83          0.00                                   Federal Money Market Sweep Fd
SAL  04-24-01    263812        -454,102.850       1.000                  454,102.85     -454,102.85          0.00                                   Federal Money Market Sweep Fd
SAL  04-25-01    263813        -644,381.580       1.000                  644,381.58     -644,381.58          0.00                                   Federal Money Market Sweep Fd
SAL  04-26-01    263814      -1,094,531.430       1.000                1,094,531.43   -1,094,531.43          0.00                                   Federal Money Market Sweep Fd
SAL  04-27-01    264172         -77,564.380       1.000                   77,564.38      -77,564.38          0.00                                   Federal Money Market Sweep Fd
SAL  04-30-01    264174        -112,139.860       1.000                  112,139.86     -112,139.86          0.00                                   Federal Money Market Sweep Fd
SAL  05-02-01    266532         -58,874.130       1.000                   58,874.13      -58,874.13          0.00                                   Federal Money Market Sweep Fd
SAL  05-03-01    266535          -8,856.260       1.000                    8,856.26       -8,856.26          0.00                                   Federal Money Market Sweep Fd
PUR  05-04-01    266825         100,769.330       1.000    100,769.33                                                                  0         0.00 Federal Money Market Sweep Fd
SAL  05-07-01    266536        -136,461.090       1.000                  136,461.09     -136,461.09          0.00                                   Federal Money Market Sweep Fd
SAL  05-08-01    266537        -176,980.290       1.000                  176,980.29     -176,980.29          0.00                                   Federal Money Market Sweep Fd
PUR  05-09-01    266626         173,480.310       1.000    173,480.31                                                                  0         0.00 Federal Money Market Sweep Fd
SAL  05-10-01    266538        -109,630.640       1.000                  109,630.64     -109,630.64          0.00                                   Federal Money Market Sweep Fd
SAL  05-11-01    266539        -161,841.250       1.000                  161,841.25     -161,841.25          0.00                                   Federal Money Market Sweep Fd
PUR  05-14-01    266527         162,011.400       1.000    162,011.40                                                                  0         0.00 Federal Money Market Sweep Fd
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	05-15-01	266540	-8,691.840	1.000		8,691.84	-8,691.84	0.00			Federal Money Market Sweep Fd
PUR	05-16-01	266528	33,214.040	1.000	33,214.04				0	0.00	Federal Money Market Sweep Fd
PUR	05-17-01	266529	82,934.210	1.000	82,934.21				0	0.00	Federal Money Market Sweep Fd
PUR	05-21-01	267169	75,622.480	1.000	75,622.48				0	0.00	Federal MM Sweep Fund
SAL	05-24-01	267171	-5,362.240	1.000		5,362.24	-5,362.24	0.00			Federal MM Sweep Fund
SAL	05-25-01	267172	-141,802.370	1.000		141,802.37	-141,802.37	0.00			Federal MM Sweep Fund
SAL	05-29-01	267173	-47,317.150	1.000		47,317.15	-47,317.15	0.00			Federal MM Sweep Fund
PUR	05-31-01	267170	60,764.860	1.000	60,764.86				0	0.00	Federal MM Sweep Fund
PUR	06-06-01	269622	84,041.210	1.000	84,041.21				0	0.00	Federal MM Sweep Fund
SAL	06-08-01	269623	-97,243.710	1.000		97,243.71	-97,243.71	0.00			Federal MM Sweep Fund
SAL	06-18-01	270290	-57,600.960	1.000		57,600.96	-57,600.96	0.00			Federal MM Sweep Fund
SAL	06-19-01	270291	-693,941.850	1.000		693,941.85	-693,941.85	0.00			Federal MM Sweep Fund
SAL	06-20-01	270292	-259,867.840	1.000		259,867.84	-259,867.84	0.00			Federal MM Sweep Fund
PUR	06-22-01	270560	102,111.880	1.000	102,111.88				0	0.00	Federal MM Sweep Fund
PUR	06-27-01	270561	90,472.530	1.000	90,472.53				0	0.00	Federal MM Sweep Fund
PUR	06-28-01	270562	56,248.910	1.000	56,248.91				0	0.00	Federal MM Sweep Fund
SAL	06-29-01	270618	-73,374.250	1.000		73,374.25	-73,374.25	0.00			Federal MM Sweep Fund
PUR	07-02-01	273118	1,749.690	1.000	1,749.69				0	0.00	Federal MM Sweep Fund
SAL	07-03-01	273122	-79,728.900	1.000		79,728.90	-79,728.90	0.00			Federal MM Sweep Fund
SAL	07-05-01	273123	-70,103.170	1.000		70,103.17	-70,103.17	0.00			Federal MM Sweep Fund
SAL	07-10-01	273124	-101,373.090	1.000		101,373.09	-101,373.09	0.00			Federal MM Sweep Fund
SAL	07-11-01	273125	-101,360.390	1.000		101,360.39	-101,360.39	0.00			Federal MM Sweep Fund
PUR	07-12-01	273119	760.390	1.000	760.39				0	0.00	Federal MM Sweep Fund
SAL	07-13-01	273126	-54,366.030	1.000		54,366.03	-54,366.03	0.00			Federal MM Sweep Fund
PUR	07-16-01	273120	85,596.310	1.000	85,596.31				0	0.00	Federal MM Sweep Fund
SAL	07-23-01	273342	-11,700.130	1.000		11,700.13	-11,700.13	0.00			Federal MM Sweep Fund
PUR	07-24-01	273340	48,084.230	1.000	48,084.23				0	0.00	Federal MM Sweep Fund
PUR	07-25-01	273341	308,391.680	1.000	308,391.68				0	0.00	Federal MM Sweep Fund
PUR	07-27-01	273683	85,263.190	1.000	85,263.19				0	0.00	Federal MM Sweep Fund
PUR	08-06-01	275439	115,332.950	1.000	115,332.95				0	0.00	Federal MM Sweep Fund
SAL	08-07-01	275440	-173,062.970	1.000		173,062.97	-173,062.97	0.00			Federal MM Sweep Fund
SAL	08-08-01	275441	-131,589.230	1.000		131,589.23	-131,589.23	0.00			Federal MM Sweep Fund
SAL	08-10-01	275442	-62,873.950	1.000		62,873.95	-62,873.95	0.00			Federal MM Sweep Fund
SAL	08-14-01	275609	-150,637.890	1.000		150,637.89	-150,637.89	0.00			Federal MM Sweep Fund
SAL	08-15-01	275610	-106,103.130	1.000		106,103.13	-106,103.13	0.00			Federal MM Sweep Fund
PUR	08-20-01	275939	7,327.580	1.000	7,327.58				0	0.00	Prime MM Sweep Fund
SAL	08-29-01	276258	-62,546.330	1.000		62,546.33	-62,546.33	0.00			Federal MM Sweep Fund

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	08-30-01	276257	119,676.480	1.000	119,676.48				0	0.00	Federal MM Sweep Fund
SAL	09-04-01	278266	-26,866.410	1.000		26,866.41	-26,866.41	0.00			Federal MM Sweep Fund
PUR	09-07-01	278263	164,369.750	1.000	164,369.75				0	0.00	Federal MM Sweep Fund
PUR	09-13-01	278264	52,218.260	1.000	52,218.25				0	0.00	Federal MM Sweep Fund
PUR	09-14-01	278265	70,983.010	1.000	70,983.01				0	0.00	Federal MM Sweep Fund
PUR	09-25-01	278994	37,940.720	1.000	37,940.72				0	0.00	JPM Federal MM Sweep Fund
PUR	09-26-01	278995	248,304.370	1.000	248,304.37				0	0.00	JPM Federal MM Sweep Fund
PUR	09-27-01	278996	137,145.950	1.000	137,145.95				0	0.00	JPM Federal MM Sweep Fund
PUR	09-28-01	278997	146,467.510	1.000	146,467.51				0	0.00	JPM Federal MM Sweep Fund
PUR	10-01-01	281365	252,496.620	1.000	252,496.62				0	0.00	JPM Federal MM Sweep Fund
PUR	10-02-01	281366	8,807.000	1.000	8,807.00				0	0.00	JPM Federal MM Sweep Fund
PUR	10-03-01	281368	424,211.080	1.000	424,211.08				0	0.00	JPM Federal MM Sweep Fund
SAL	10-09-01	281375	-186,499.190	1.000		186,499.19	-186,499.19	0.00			JPM Federal MM Sweep Fund
SAL	10-11-01	281376	-186,237.660	1.000		186,237.66	-186,237.66	0.00			JPM Federal MM Sweep Fund
PUR	10-12-01	281370	127,230.420	1.000	127,230.42				0	0.00	JPM Federal MM Sweep Fund
SAL	10-15-01	281377	-191,096.100	1.000		191,096.10	-191,096.10	0.00			JPM Federal MM Sweep Fund
SAL	10-16-01	281713	-732,968.720	1.000		732,965.72	-732,965.72	0.00			JPM Federal MM Sweep Fund
SAL	10-18-01	281712	-4,493.360	1.000		4,493.36	-4,493.36	0.00			JPM Federal MM Sweep Fund
SAL	10-22-01	282202	-30,756.600	1.000		30,756.60	-30,756.60	0.00			JPM Federal MM Sweep Fund
SAL	10-22-01	283399	-2,246.640	1.000		2,246.64	-2,246.64	0.00			To correct Pierpont fund
SAL	10-23-01	282203	-173,312.350	1.000		173,312.35	-173,312.35	0.00			JPM Federal MM Sweep Fund
SAL	10-26-01	282204	-65,256.410	1.000		65,256.41	-65,256.41	0.00			JPM Federal MM Sweep Fund
SAL	11-01-01	284626	-57,669.910	1.000		57,669.91	-57,669.91	0.00			JPM Federal MM Sweep Fund
SAL	11-07-01	284627	-25,090.420	1.000		25,090.42	-25,090.42	0.00			JPM Federal MM Sweep Fund
SAL	11-16-01	284943	-103,162.650	1.000		103,162.65	-103,162.65	0.00			JPM Federal MM Sweep Fund
PUR	11-20-01	284946	17,383.210	1.000	17,383.21				0	0.00	JPM Federal MM Sweep Fund
PUR	11-23-01	284949	391,784.840	1.000	391,784.84				0	0.00	JPM Federal MM Sweep Fund
SAL	11-26-01	285280	-212,532.740	1.000		212,532.74	-212,532.74	0.00			JPM Federal MM Sweep Fund
PUR	11-27-01	285281	61,047.770	1.000	61,047.77				0	0.00	JPM Federal MM Sweep Fund
SAL	11-28-01	285289	-44,999.200	1.000		44,999.20	-44,999.20	0.00			JPM Federal MM Sweep Fund
PUR	11-29-01	285282	2,698.030	1.000	2,698.03				0	0.00	JPM Federal MM Sweep Fund
PUR	11-30-01	285283	18,763.990	1.000	18,763.99				0	0.00	JPM Federal MM Sweep Fund
SAL	12-03-01	287327	-42,544.030	1.000		42,544.03	-42,544.03	0.00			Federal MM Sweep Fund
PUR	12-04-01	287323	127,000.000	1.000	127,000.00				45,572	45,572.01	Federal MM Sweep Fund
PUR	12-05-01	287324	63,004.660	1.000	63,004.66				63,005	63,004.66	Federal MM Sweep Fund
SAL	12-06-01	287328	-60,742.390	1.000		60,742.39	-60,742.39	0.00			Federal MM Sweep Fund
PUR	12-07-01	287325	60,578.120	1.000	60,578.12				60,578	60,578.12	Federal MM Sweep Fund

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                                                                           Market Street Trust Company
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FC3.1                                                                 BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING    REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
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SAL  12-10-01     287129            -75.470     1.000                        75.47          -75.47          0.00                        Federal MM Sweep Fund
PUR  12-12-01     287326        167,385.920     1.000     167,388.92                                                167,386   167,385.92 Federal MM Sweep Fund
PUR  12-17-01     287763        179,611.110     1.000     179,811.23                                                179,511   179,511.23 JPM Federal MM Sweep Fund
SAL  12-20-01     288167       -111,338.790     1.000                   111,338.79     -111,338.79          0.00                        JPM Federal MM Sweep Fund
SAL  12-21-01     288188        -61,891.060     1.000                    61,891.06      -61,891.06          0.00                        JPM Federal MM Sweep Fund
SAL  12-27-01     288654        -13,974.050     1.000                    13,974.05      -13,974.05          0.00                        JPM Federal MM Sweep Fund
SAL  12-28-01     288655        -44,137.610     1.000                    44,137.61      -44,137.61          0.00                        JPM Federal MM Sweep Fund
                              -------------            ------------- ------------- --------------- -------------  ---------  -----------
     TOTAL -                    516,051.940            14,593,046.10 14,076,994.16  -14,076,994.16          0.00    516,052   516,051.94

PINACL RDY       Doctor Reddy's Lab
PUR  07-05-01     273121          5,460.000    18.497     101,373.69                                                  5,460   101,373.09 Doctor Freddy's Lab
PUR  10-10-01     281171          3,000.000    20.300      60,900.00                                                  3,000    60,800.00 Doctor Reddy's Lab
                              -------------            ------------- ------------- --------------- -------------  ---------  -----------
     TOTAL -                      8,460.000               162,273.09          0.00            0.00          0.00      8,460   162,273.09

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
     PINACL RDY       Doctor Reddy's Lab                  8,460.000 SHRS      18.381     162,273.08    18.980 12-31-01    160,217.00       -1,956.08

PINACL RYAAY     Ryanair Holdings PLC
PUR  04-20-01     263816          1,800.000    49.480      89,190.00                                                      0         0.00 Ryanair Holdings PLC @49.48
SAL  09-24-01     278998         -1,800.000    35.404                    63,727.95      -89,190.00    -25,462.05                        Ryanair Holdings PLC
                              -------------            ------------- ------------- --------------- -------------  ---------  -----------
     TOTAL -                          0.000                89,190.00     63,727.95      -89,190.00    -25,462.05          0         0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
     PINACL RYAAY     Ryanair Holdings PLC                2,700.000 SHRS      31.608      85,332.69    50.550 08-31-01          0.00      -85,332.69

PINACL SAP       SAP Aktiengesellschaft
     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE           COST     PRICE   DATE     MARKET VALUE  UNREALIZED G/L
     PINACL SAP       SAP Aktiengesellschaft              2,900.000 SHRS      38.895     112,795.79                                          -112,795.79

PINACL 88161620  ELEKTA AB-B
PUR  04-24-01     265489         14,500.000     5.349      77,864.38                                                 14,500    77,564.38 Elekta Inst AB-B
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                                                                   Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 60
FC3.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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PUR   05-11-01     266767           5,500.000     5.223     28,729.12                                                 5,500    28,729.12  Electa AB-B
PUR   06-14-01     270303          10,000.000     8.017     80,169.16                                                10,000    80,169.16  Elekta AB-B
                               --------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                      30,000.000              186,462.66          0.00            0.00          0.00     30,000   186,462.66

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PINACL SE163628   ELEKTA AB-B                     16,000.000 SHRS         6.973     111,572.91      8.103  12-31-01     243,090.00       131,517.09

PINACL SE202624   Getinge Industrier
PUR   04-20-01     265480           9,000.000    15.315    137,838.39                                                     0         0.00  Getinge Industrier
SAL   09-28-01     280208          -9,000.000    11.648                  104,832.62     -137,838.39    -33,005.77                         Getinge Industries AB-B
                               --------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                           0.000              137,838.39    104,832.62     -137,838.39    -33,005.77          0         0.00

PINACL SE226367   Nobel Biocare AB
PUR   04-12-01     265461           4,000.000    34.334    137,337.11                                                     0         0.00  Nobel Biocare AB
PUR   04-18-01     265472           4,000.000    34.487    137,947.99                                                     0         0.00  Nobel Biocare AB
SAL   05-01-01     266765          -1,000.000    37.246                   37,246.36      -34,334.28      2,912.08                         Nobel Biocare AB
SAL   09-26-01     280205          -7,000.000    25.583                  179,078.62     -240,950.82    -61,872.20                         Nobel Biocare AB
                               --------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                           0.000              275,285.10    216,324.98     -275,285.10    -58,960.12          0         0.00

PINACL SE310336   Swedish Match AB
PUR   05-21-01     287197          30,000.000     4.727    141,802.37                                                30,000   141,802.37  Swedish Match AB
                               --------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                      30,000.000              141,802.37          0.00            0.00          0.00     30,000   141,802.37

PINACL SE412371   Modern Times Group-B
PUR   05-01-01     266766           3,500.000    29.365    102,776.39                                                 3,500   102,776.39  Modern Times Group-B
PUR   10-11-01     281808           3,500.000    20.701     72,454.13                                                 3,500    72,454.13  Modern Times Group B.
                               --------------            ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                       7,000.000              175,230.52          0.00            0.00          0.00      7,000   175,230.52

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM        AVERAGE           COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PINACL SE412371   Modern Times Group-B             7,000.000 SHRS        25.033     175,230.52     22.022  12-31-01     154,154.00       -21,076.52
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                                                                           Market Street Trust Company
04-23-02                                                               PURCHASE / SALE DETAIL HISTORY REPORT                                                  PAGE 61
PC3.3                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                               REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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PINACL SE635401   Axfood AB
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM     AVERAGE        COST    PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      PINACL SE635401  Axfood AB                          6,100.000 SHRS      14.335   87,443.84                                        -87,443.84

PINACL SG1L01001? DBS Bank LTD
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM     AVERAGE        COST    PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      PINACL SG1L01001? DBS Bank LTD                     12,000.000 SHRS       7.589   91,063.72                                        -91,063.72

PINACL SG1M310019 United Overseas Bank
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM     AVERAGE        COST    PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      PINACL SG1M310019 United Overseas Bank             16,000.000 SHRS       8.076  129,222.95                                       -129,222.95

PINACL SG79009654 DateCraft Asia Limited
PUR   11-20-01     285286          15,000.000     2.221     33,562.41                                                15,000   33,562.41 DataCraft Asia Limited @2.2314
PUR   12-19-01     288189           6,000.000     2.323     13,974.05                                                 6,000   13,974.05 Datacraft Asia Limited @2.3232
                               ---------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                      21,000.000               47,536.46          0.00            0.00          0.00      21,000   47,536.46

PINACL SHKP       Sun Hung Kai Properties
PUR   10-04-01     281180          18,000.000     6.737    121,260.65                                                18,000  121,260.65 Sun Hung Kai Properties
                               ---------------           ------------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                      18,000.000              121,260.65          0.00            0.00          0.00      18,000  121,260.65

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM     AVERAGE        COST    PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      PINACL SHKP       Sun Hung Kai Properties           6,000.000 SHRS       6.737   40,420.22    8.079  12-31-01    145,422.00     105,001.78

PINACL SRZG       Schwarz Pharma AG
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM     AVERAGE        COST    PRICE  DATE      MARKET VALUE  UNREALIZED G/L
      PINACL SRZG       Schwarz Pharma AG                 2,600.000 SHRS      33.365   86,749.13                                        -86,749.13

PINACL SMK20    Samsung Electronic GDR NV 2nd
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                                                                        Market Street Trust Company
04-23-02                                                            PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 62
FC1.3                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY     COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM         AVERAGE         COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PINACL 3ZNK10    Samsung Electronic GDR NV 2nd       2,100.000 SHRS        60.640   127,341.16                                          -127,341.16

PINACL TARO      Taro Pharmaceuticals Ind.
PUR   06-14-01    270288            2,200.000     76.054    167,471.92                                                      4,400   167,471.92  Taro Pharmaceuticals Industrie
SPLIT 07-27-01    273682            2,200.000                     0.00                                                          0         0.00  Taro Pharmaceuticals 2 for 1
                                --------------            --------------  ------------  --------------  ------------  ------------  -----------
      TOTAL -                       4,400.000               167,471.92          0.00            0.00          0.00          4,400   167,471.92

PINACL TEVA      Teva Pharmaceutical Industries
PUR   04-05-01    263104            2,500.000     52.375    131,137.50                                                      2,500   131,137.50  Teva Pharmaceuticals Indust.
                                --------------            --------------  ------------  --------------  ------------  ------------  -----------
      TOTAL -                       2,500.000               131,137.50          0.00            0.00          0.00          2,500   131,137.50

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM         AVERAGE         COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PINACL TEVA      Teva Pharmaceutical Industries      1,500.000 SHRS        52.455    78,682.50      61.630 12-31-01     154,075.00      75,392.50

PINACL TMX       Telefonos De Mexico
PUR   04-05-01    263103            4,000.000     30.060    120,560.00                                                      4,000   120,560.00  Telefonos De Mexico S A
                                --------------            --------------  ------------  --------------  ------------  ------------  -----------
      TOTAL -                       4,000.000               120,560.00          0.00            0.00          0.00          4,000   120,560.00

PINACL TSM       Taiwan Semiconductor Manufact.
PUR   10-29-01    283374            4,200.000     13.680     57,669.91                                                      4,200    57,669.91  Taiwan Semiconductor Manufact.
                                --------------            --------------  ------------  --------------  ------------  ------------  -----------
      TOTAL -                       4,200.000                57,669.91          0.00            0.00          0.00          4,200    57,669.91

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM         AVERAGE         COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PINACL TSM       Taiwan Semiconductor Manufact.      7,200.000 SHRS        15.171   109,234.21      17.170 12-31-01      72,114.00     -37,120.21

PINACL U8449I8770 Hyundia Motorci-GDR
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM         AVERAGE         COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PINACL U8449I8770 Hyundia Motorci-GDR                9,100.000 SHRS        15.598   141,939.07                                          -141,939.07
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION - TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PINACL VOD		Vodafone Group PLC-New A/D/R							0	0.00	Vodafone Group PLC-New
PUR	04-19-01	263817	4,200.000	32.800	138,053.16						
SAL	06-22-01	270563	-4,200.000	21.612		90,472.53	-138,053.16	-47,580.63			Vodafone Group @21.6118
TOTAL -			0.000		138,053.16	90,472.53	-138,053.16	-47,580.63	0	0.00	
PINACL WJA		WestJet Airlines									
PUR	12-20-01	288721	3,000.000	14.713	44,137.61				3,000	44,137.61	WestJet Airlines
TOTAL -			3,000.000		44,137.61	0.00	0.00	0.00	3,000	44,137.61	

CURRENT HOLDINGS -

ENTITY	INVESTMENT DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PINACL WJA	WestJet Airlines	3,000.000	SHRS	14.713	44,137.61	14.713	12-31-01	44,137.61	0.00

	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS
REPORT TOTAL -	81,815,379.77	58,874,469.17	-64,282,165.41	-5,377,696.24	3,624,158	29,015,822.25

04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
OFFIT2 JPMSWEEP	J P Morgan Money Market Sweep										
PUR	01-19-01	248784	143,623.300	1.000	143,623.30				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-19-01	248785	5,250.000	1.000	5,250.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248786	-514,550.000	1.000		514,550.00	-514,550.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	248787	-594.870	1.000		594.87	-594.87	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	02-16-01	251717	-9,500.000	1.000		9,500.00	-9,500.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	02-16-01	251718	-12,395.670	1.000		12,395.67	-12,395.67	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	03-15-01	254912	544,215.000	1.000	544,215.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	03-16-01	257241	1,044,700.000	1.000	1,044,700.00				0	0.00	Prime Money Market Sweep Fund
PUR	04-18-01	262802	1,850,000.000	1.000	1,850,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-18-01	262803	-626.320	1.000		626.32	-626.32	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-26-01	263821	-2,126,660.000	1.000		2,126,660.00	-2,126,660.00	0.00			Prime Money Market Sweep Fund
SAL	05-17-01	266131	-1,369,300.000	1.000		1,369,300.00	-1,369,300.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-17-01	266132	-299,501.680	1.000		299,501.68	-299,501.68	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-17-01	266133	-2,953,944.000	1.000		2,953,944.00	-2,953,944.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-18-01	267804	-662,860.680	1.000		662,860.68	-662,860.68	0.00			Prime Money Market Sweep Fund
SAL	05-23-01	267090	-12,636.870	1.000		12,636.87	-12,636.87	0.00			Prime Money Market Sweep Fund
PUR	06-01-01	268475	711,600.000	1.000	711,600.00				0	0.00	Prime Money Market Sweep Fund
SAL	06-27-01	270523	-4,593.750	1.000		4,593.75	-4,593.75	0.00			Prime MM Sweep Fund
PUR	07-12-01	272670	1,000,000.000	1.000	1,000,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	07-12-01	272671	-1,976,597.500	1.000		1,976,597.50	-1,976,597.50	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	07-18-01	273002	-724.430	1.000		724.43	-724.43	0.00			Prime MM Sweep Fund
SAL	08-10-01	274611	-13,900.340	1.000		13,900.34	-13,900.34	0.00			Prime MM Sweep Fund
PUR	09-06-01	278189	65,000.000	1.000	65,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	10-15-01	281107	723,898.700	1.000	723,898.70				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281108	-911,800.000	1.000		911,800.00	-911,800.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-18-01	281637	-839.170	1.000		839.17	-839.17	0.00			Prime MM Sweep Fund
SAL	10-30-01	282560	-886,880.850	1.000		886,880.85	-886,880.85	0.00			Prime MM Sweep Fund
PUR	11-07-01	283647	87,266.320	1.000	87,266.32				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	11-07-01	283648	231,959.000	1.000	231,959.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	11-07-01	283649	521,132.810	1.000	521,132.81				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-16-01	284725	-86,139.000	1.000		86,139.00	-86,139.00	0.00			Prime MM Sweep Fund
SAL	11-19-01	284726	-11,099.800	1.000		11,099.80	-11,099.80	0.00			Prime MM Sweep Fund
PUR	11-28-01	288237	1,029,220.000	1.000	1,029,220.00				552.370	552,370.33	Prime MM Sweep Fund

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                                                                                    Market Street Trust Company
                                                                              PURCHASE / SALE DETAIL HISTORY REPORT
04-23-02                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01
FC3.3
                                                                                                                REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION                                                                                   
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS  SALE PROCEEDS GAIN COST BASIS NET GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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SAL   12-01-01    287087      -707,949.000      1.000                 707,949.00     -707,949.00          0.00                           Prime MM Sweep Fund
SAL   12-21-01    288185      -512,020.000      1.000                 512,020.00     -512,020.00          0.00                           Prime MM Sweep Fund
                           ---------------            ------------ ------------- --------------- ------------- ----------  -----------
      TOTAL -               -1,137,249.800            9,957,865.13 13,095,111.93  -13,095,111.93          0.00    552,370   552,370.33

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION               QUANTITY UOM      AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 JPMSWEEP   J P Morgan Money Market Sweep  309,004.030 UNITS    1.000    309,004.03    1.000 12-31-01    552,370.33      243,366.30

OFFIT2 LI.501208  LI Power Auth Elec 5.5 12/1/08
IAM   01-31-01    250806                                          0.00                                                                   AMORTIZATION
IAM   02-28-01    255279                                          0.00                                                                   AMORTIZATION
SAL   03-08-01    256911      -500,000.000    108.843                 544,215.00     -514,610.00     29,605.00                           LONG ISLAND POWER OF AUTH N Y ELEC SYS REV 5 1/2% A DEC 1 2008 DTD 5/1/98 AMBAC
                           ---------------            ------------ ------------- --------------- ------------- ----------  -----------
      TOTAL -                 -500,000.000                    0.00    544,215.00     -514,610.00     29,605.00          0         0.00

OFFIT2 NY.50202   Pwr Auth/NY Genl St 02/15/02
IAM   01-31-01    250807                                          0.00                                                                   AMORTIZATION
IAM   02-28-01    255280                                          0.00                                                                   AMORTIZATION
IAM   03-31-01    261496                                          0.00                                                                   AMORTIZATION
IAM   04-30-01    265078                                          0.00                                                                   AMORTIZATION
IAM   05-31-01    267991                                          0.00                                                                   AMORTIZATION
IAM   06-30-01    271426                                          0.00                                                                   AMORTIZATION
IAM   07-31-01    274289                                          0.00                                                                   AMORTIZATION
IAM   08-31-01    276768                                          0.00                                                                   AMORTIZATION
IAM   09-30-01    279906                                          0.00                                                                   AMORTIZATION
IAM   10-31-01    283131                                          0.00                                                                   AMORTIZATION
IAM   11-30-01    285693                                          0.00                                                                   AMORTIZATION
IAM   12-31-01    289204                                          0.00                                                                   AMORTIZATION
                           ---------------            ------------ ------------- --------------- ------------- ----------  -----------
      TOTAL -                        0.000                    0.00          0.00            0.00          0.00          0         0.00

OFFIT2 NY.50204   NY Pwr Auth St 02/15/06
IAM   01-31-01    250808                                          0.00                                                                   AMORTIZATION
IAM   02-28-01    255281                                          0.00                                                                   AMORTIZATION
IAM   03-31-01    261497                                          0.00                                                                   AMORTIZATION
IAM   04-30-01    265079                                          0.00                                                                   AMORTIZATION
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                                                                               Market Street Trust Company
04-23-02                                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                                      PAGE 3
FC3.3                                                                   BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY    COST BASIS  DESCRIPTION
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IAM   05-31-01     267992                                     0.00                                                                        AMORTIZATION
IAM   06-30-01     271427                                     0.00                                                                        AMORTIZATION
IAM   07-31-01     274290                                     0.00                                                                        AMORTIZATION
IAM   08-31-01     276769                                     0.00                                                                        AMORTIZATION
IAM   09-30-01     279907                                     0.00                                                                        AMORTIZATION
IAM   10-31-01     283112                                     0.00                                                                        AMORTIZATION
IAM   11-30-01     285694                                     0.00                                                                        AMORTIZATION
IAM   12-31-01     289205                                     0.00                                                                        AMORTIZATION
                           --------------             ------------ ------------- --------------- -------------  -----------  ------------
      TOTAL -                       0.000                     0.00          0.00            0.00          0.00            0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.50204  NY Pwr Auth 5% 02/15/04          500,000.000 PAR       103.753     518,765.00    105.071 12-31-01      525,355.00        6,590.00

OFFIT2 NY.50405  LI Pwr Auth 5% 04/01/05
SAL   03-13-01     257240  -1,000,000.000    104.470                1,044,700.00   -1,049,690.00     -4,990.00                            LI Power Auth 5% 04/01/05
                           --------------             ------------ ------------- --------------- -------------  -----------  ------------
      TOTAL -              -1,000,000.000                     0.00  1,044,700.00   -1,049,690.00     -4,990.00            0          0.00

OFFIT2 NY.50505  NYC Fnce Auth 5% 05/01/05
IAM   01-31-01     250809                                     0.00                                                                        AMORTIZATION
IAM   02-28-01     255282                                     0.00                                                                        AMORTIZATION
IAM   03-31-01     261498                                     0.00                                                                        AMORTIZATION
IAM   04-30-01     265080                                     0.00                                                                        AMORTIZATION
IAM   05-31-01     267993                                     0.00                                                                        AMORTIZATION
IAM   06-30-01     271428                                     0.00                                                                        AMORTIZATION
IAM   07-31-01     274291                                     0.00                                                                        AMORTIZATION
IAM   08-31-01     276770                                     0.00                                                                        AMORTIZATION
IAM   09-30-01     279908                                     0.00                                                                        AMORTIZATION
IAM   10-31-01     283113                                     0.00                                                                        AMORTIZATION
IAM   11-30-01     285695                                     0.00                                                                        AMORTIZATION
IAM   12-31-01     289206                                     0.00                                                                        AMORTIZATION
                           --------------             ------------ ------------- --------------- -------------  -----------  ------------
      TOTAL -                       0.000                     0.00          0.00            0.00          0.00            0          0.00
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                                                         Market Street Trust Company                                                   PAGE 6
04-23-02                                                 PURCHASE / SALE DETAIL HISTORY REPORT
PC3.3                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                   REMAINING    REMAINING
ENTITY INVESTMENT DESCRIPTION
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE           COST     PRICE     DATE   MARKET VALUE  UNREALIZED G/L
      OPPIT2 NY.50605   NYC Pres Auth 5% 05/01/05   1,000,000.000 PAR       103.019   1,030,190.00   105.114 12-31-01   1,051,140.00       20,950.00

OPPIT2 NY.5051505 NYS Dorm Auth 5.25% 5/15/05
IAM   01-31-01    260810                                    0.00                                                                        AMORTIZATION
IAM   02-28-01    255283                                    0.00                                                                        AMORTIZATION
IAM   03-31-01    261499                                    0.00                                                                        AMORTIZATION
IAM   04-30-01    265061                                    0.00                                                                        AMORTIZATION
IAM   05-31-01    267994                                    0.00                                                                        AMORTIZATION
IAM   06-30-01    271429                                    0.00                                                                        AMORTIZATION
IAM   07-31-01    274292                                    0.00                                                                        AMORTIZATION
IAM   08-31-01    276771                                    0.00                                                                        AMORTIZATION
IAM   09-30-01    279909                                    0.00                                                                        AMORTIZATION
IAM   10-31-01    283134                                    0.00                                                                        AMORTIZATION
IAM   11-30-01    285696                                    0.00                                                                        AMORTIZATION
IAM   12-31-01    289207                                    0.00
                                ------------            ------------  ------------- --------------- -------------  -----------  -----------
      TOTAL -                          0.000                    0.00           0.00            0.00          0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE           COST     PRICE     DATE   MARKET VALUE  UNREALIZED G/L
      OPPIT2 NY.5051505 NYS Dorm Auth 5.25% 5/15/05   700,000.000 PAR       101.701     711,907.00   105.927 12-31-01     741,489.00       29,582.00

OPPIT2 NY.50805   City of NY Genl 5% 08/01/05
PUR   01-02-01    250805           500,000.000   102.910    514,550.00                                                 500,000   514,550.00  City of NY Genl 5% 08/01/05
IAM   01-31-01    250811                                    0.00                                                                        AMORTIZATION
IAM   02-28-01    256284                                    0.00                                                                        AMORTIZATION
IAM   03-31-01    261500                                    0.00                                                                        AMORTIZATION
IAM   04-30-01    265083                                    0.00                                                                        AMORTIZATION
IAM   05-31-01    267995                                    0.00                                                                        AMORTIZATION
IAM   06-30-01    271430                                    0.00                                                                        AMORTIZATION
IAM   07-31-01    274293                                    0.00                                                                        AMORTIZATION
IAM   08-31-01    276772                                    0.00                                                                        AMORTIZATION
IAM   09-30-01    279910                                    0.00                                                                        AMORTIZATION
IAM   10-31-01    283135                                    0.00                                                                        AMORTIZATION
IAM   11-30-01    285697                                    0.00
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04-23-02                                                                              Market Street Trust Company
FC3.3                                                                          PURCHASE / SALE DETAIL HISTORY REPORT
                                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                     REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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IAM   12-31-01     289208                                      0.00                                                                        AMORTIZATION
                                ------------             -----------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                    500,000.000             514,550.00           0.00            0.00          0.00     500.000    514,550.00

OFFIT2 NY 50911  Orange Cty Tax 5% 09/01/11
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.50911  Orange Cty Tax 5% 09/01/11    500,000.000 PAR       98.328    491,640.00   102.686  12-31-01    513,430.00       21,790.00

OFFIT2 NY.5A0108  NY Thrwy 5.2% 01/01/08
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST     PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.5A0108  NY Thrwy 5.2% 01/01/08    1,000,000.000 PAR      100.000  1,000,000.00   105.449  12-31-01  1,054,490.00       54,490.00

OFFIT2 NY.5B0109  NYB Thrwy 5.25% 01-01-09
IAM   01-31-01     250812                                      0.00                                                                        AMORTIZATION
IAM   01-31-01     250813                                      0.00                                                                        AMORTIZATION
IAM   01-31-01     250814                                      0.00                                                                        AMORTIZATION
IAM   01-31-01     250815                                      0.00                                                                        AMORTIZATION
IAM   02-28-01     255285                                      0.00                                                                        AMORTIZATION
IAM   02-28-01     255286                                      0.00                                                                        AMORTIZATION
IAM   02-28-01     255287                                      0.00                                                                        AMORTIZATION
IAM   02-28-01     255288                                      0.00                                                                        AMORTIZATION
IAM   03-31-01     261501                                      0.00                                                                        AMORTIZATION
IAM   03-31-01     261502                                      0.00                                                                        AMORTIZATION
IAM   03-31-01     261503                                      0.00                                                                        AMORTIZATION
IAM   03-31-01     261504                                      0.00                                                                        AMORTIZATION
IAM   04-30-01     265083                                      0.00                                                                        AMORTIZATION
IAM   04-30-01     265084                                      0.00                                                                        AMORTIZATION
IAM   04-30-01     265085                                      0.00                                                                        AMORTIZATION
IAM   04-30-01     265086                                      0.00                                                                        AMORTIZATION
IAM   05-31-01     267996                                      0.00                                                                        AMORTIZATION
IAM   05-31-01     267997                                      0.00                                                                        AMORTIZATION
IAM   05-31-01     267998                                      0.00                                                                        AMORTIZATION
IAM   05-31-01     267999                                      0.00                                                                        AMORTIZATION
IAM   06-30-01     271431                                      0.00                                                                        AMORTIZATION
IAM   06-30-01     271432                                      0.00                                                                        AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	06-30-01	271433			0.00						AMORTIZATION
IAM	06-30-01	271434			0.00						AMORTIZATION
IAM	07-31-01	274294			0.00						AMORTIZATION
IAM	07-31-01	274295			0.00						AMORTIZATION
IAM	07-31-01	274296			0.00						AMORTIZATION
IAM	07-31-01	274297			0.00						AMORTIZATION
IAM	08-31-01	276773			0.00						AMORTIZATION
IAM	08-31-01	276774			0.00						AMORTIZATION
IAM	08-31-01	276775			0.00						AMORTIZATION
IAM	08-31-01	276776			0.00						AMORTIZATION
IAM	09-30-01	279911			0.00						AMORTIZATION
IAM	09-30-01	279912			0.00						AMORTIZATION
IAM	09-30-01	279913			0.00						AMORTIZATION
IAM	09-30-01	279914			0.00						AMORTIZATION
IAM	10-31-01	283136			0.00						AMORTIZATION
IAM	10-31-01	283137			0.00						AMORTIZATION
IAM	10-31-01	283138			0.00						AMORTIZATION
IAM	10-31-01	283139			0.00						AMORTIZATION
IAM	11-30-01	285698			0.00						AMORTIZATION
IAM	11-30-01	285699			0.00						AMORTIZATION
IAM	11-30-01	285700			0.00						AMORTIZATION
IAM	11-30-01	285701			0.00						AMORTIZATION
IAM	12-31-01	289209			0.00						AMORTIZATION
IAM	12-31-01	289210			0.00						AMORTIZATION
IAM	12-31-01	289211			0.00						AMORTIZATION
IAM	12-31-01	289212			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT2 NY.SB0109 NYS Thrwy 5.25% 01-01-09	1,000,000.000 PAR	105.147	1,051,467.60	105.435	12-31-01	1,054,350.00	2,882.40

OFFIT2 NY.SB0410 Metro Trans Auth 5.25% 4/1/10

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250816			0.00						AMORTIZATION
IAM	02-28-01	255269			0.00						AMORTIZATION
IAM	03-31-01	261505			0.00						AMORTIZATION

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                                                                          Market Street Trust Company
04-23-02                                                               PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 7
FCJ.3                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS      QUANTITY    COST BASIS DESCRIPTION
----  -------- ----------   -------------- ---------- ------------ ------------- --------------- ------------- ------------- ------------- -----------
IAM   04-30-01     265087                                     0.00                                                                          AMORTIZATION
IAM   05-31-01     268000                                     0.00                                                                          AMORTIZATION
IAM   06-30-01     271435                                     0.00                                                                          AMORTIZATION
IAM   07-31-01     274298                                     0.00                                                                          AMORTIZATION
IAM   08-31-01     276777                                     0.00                                                                          AMORTIZATION
IAM   09-30-01     279915                                     0.00                                                                          AMORTIZATION
IAM   10-31-01     283140                                     0.00                                                                          AMORTIZATION
IAM   11-30-01     285702                                     0.00                                                                          AMORTIZATION
IAM   12-31-01     289213                                     0.00                                                                          AMORTIZATION
                            --------------            ------------ ------------- --------------- ------------- ------------- -------------
      TOTAL -                        0.000                    0.00          0.00            0.00          0.00             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      OFFIT2 NY.5B0410  Metro Trans Auth 5.25% 4/1/10   500,000.000 PAR      104.618     523,090.00     105.549  12-31-01      527,745.00        4,655.00

OFFIT2 NY.5B0613  NYS Envir Facil 5.25% 06/15/13
PUR   12-18-01     288104      500,000.000    102.404   512,020.00                                                   500,000    512,020.00 NYS Envir Facil 5.25% 06/15/13
IAM   12-31-01     289214                                     0.00                                                                          AMORTIZATION
                            --------------            ------------ ------------- --------------- ------------- ------------- -------------
      TOTAL -                  500,000.000              512,020.00          0.00            0.00          0.00       500,000    512,020.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      OFFIT2 NY.5B0613  NYS Envir Facil 5.25% 06/15/13  500,000.000 PAR      102.404     512,020.00     103.388  12-31-01      516,940.00        4,920.00

OFFIT2 NY.5B0707  Mun. Assist. NYC 5.25% 7/1/07
PUR   04-19-01     263824    2,000,000.000    106.333 2,126,660.00                                                 2,000,000  2,126,660.00 Mun. Assist. NYC 5.25% 7/1/07
                            --------------            ------------ ------------- --------------- ------------- ------------- -------------
      TOTAL -                2,000,000.000            2,126,660.00          0.00            0.00          0.00     2,000,000  2,126,660.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      OFFIT2 NY.5B0707  Mun. Assist. NYC 5.25% 7/1/07 2,000,000.000 PAR      106.333   2,126,660.00     106.440  12-31-01    2,128,800.00        2,140.00

OFFIT2 NY.5B0708  NYC Genl Purp tax 5.5% 7/01/08
IAM   01-31-01     250817                                     0.00                                                                          AMORTIZATION
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                                              Market Street Trust Company                                                  PAGE 8
04-23-02                                 PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                              REMAINING   REMAINING
ENTITY INVESTMENT DESCRIPTION ---                                                                                         
TYPE  TXN DATE TXN NUMBER     QUANTITY     PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS  DESCRIPTION
----  -------- ----------  ------------- --------- ----------  ------------- --------------- ------------- ---------  ----------  ------------
IAM   02-28-01     255290                                0.00                                                                    AMORTIZATION
IAM   03-31-01     261506                                0.00                                                                    AMORTIZATION
IAM   04-30-01     265088                                0.00                                                                    AMORTIZATION
IAM   05-31-01     268001                                0.00                                                                    AMORTIZATION
IAM   06-30-01     271436                                0.00                                                                    AMORTIZATION
IAM   07-31-01     274299                                0.00                                                                    AMORTIZATION
IAM   08-31-01     276778                                0.00                                                                    AMORTIZATION
IAM   09-30-01     279916                                0.00                                                                    AMORTIZATION
IAM   10-31-01     283141                                0.00                                                                    AMORTIZATION
IAM   11-30-01     286703                                0.00                                                                    AMORTIZATION
IAM   12-31-01     289215                                0.00                                                                    AMORTIZATION
                           -------------           ----------  ------------- --------------- -------------  ---------  ----------
      TOTAL -                      0.000                 0.00           0.00            0.00          0.00          0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST     PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.SB0708  NYC Genl Purp tax 5.5% 7/01/08  1,000,000.000 PAR  102.676  1,026,760.00  107.724  12-31-01  1,077,240.00       50,480.00

OFFIT2 NY.SB0908  NY Unltd TX 5.50% 09/15/08
IAM   01-31-01     250818                                0.00                                                                    AMORTIZATION
IAM   02-28-01     255291                                0.00                                                                    AMORTIZATION
IAM   03-31-01     261507                                0.00                                                                    AMORTIZATION
IAM   04-30-01     265089                                0.00                                                                    AMORTIZATION
IAM   05-31-01     268002                                0.00                                                                    AMORTIZATION
IAM   06-30-01     271437                                0.00                                                                    AMORTIZATION
IAM   07-31-01     274300                                0.00                                                                    AMORTIZATION
IAM   08-31-01     276779                                0.00                                                                    AMORTIZATION
IAM   09-30-01     279917                                0.00                                                                    AMORTIZATION
IAM   10-31-01     283142                                0.00                                                                    AMORTIZATION
IAM   11-30-01     285704                                0.00                                                                    AMORTIZATION
IAM   12-31-01     289216                                0.00                                                                    AMORTIZATION
                           -------------           ----------  ------------- --------------- -------------  ---------  ----------
      TOTAL -                      0.000                 0.00           0.00            0.00          0.00          0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST     PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.SB0908  NY Unltd TX 5.50% 09/15/08      1,350,000.000 PAR  103.498  1,397,223.00  107.752  12-31-01  1,454,652.00       57,429.00
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                                                                   Market Street Trust Company                                                      PAGE 9
04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT
FC3.1                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

                                                                                                           REMAINING     REMAINING
ENTITY INVESTMENT DESCRIPTION--
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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OFFIT2 NY.5C0406  NYS Mortgage Agcy 5.3% 4/1/06
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.5C0406  NYS Mortgage Agcy 5.3% 4/1/06  500,000.000 PAR       100.000     500,000.00   104.551  12-31-01     522,755.00       22,755.00

OFFIT2 NY.5C0607  NY Cty Muni Wtr 5.375% 6/15/07
IAM   01-31-01     250819                                      0.00                                                                      AMORTIZATION
IAM   02-28-01     255292                                      0.00                                                                      AMORTIZATION
IAM   03-31-01     261508                                      0.00                                                                      AMORTIZATION
IAM   04-30-01     265090                                      0.00                                                                      AMORTIZATION
IAM   05-31-01     268003                                      0.00                                                                      AMORTIZATION
IAM   06-30-01     271438                                      0.00                                                                      AMORTIZATION
IAM   07-31-01     274301                                      0.00                                                                      AMORTIZATION
IAM   08-31-01     276780                                      0.00                                                                      AMORTIZATION
IAM   09-30-01     279918                                      0.00                                                                      AMORTIZATION
IAM   10-31-01     283143                                      0.00                                                                      AMORTIZATION
IAM   11-30-01     285705                                      0.00                                                                      AMORTIZATION
IAM   12-31-01     289217                                      0.00                                                                      AMORTIZATION
                                -------------              ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                           0.000                      0.00          0.00            0.00          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.5C0607  NY Cty Muni Wtr 5.375% 6/15/07  370,000.000 PAR       101.152     374,262.40   104.176  12-31-01     385,451.20       11,188.80

OFFIT2 NY.5C0607A NYC Muni Wtr 5.375% 06/15/07
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.5C0607A NYC Muni Wtr 5.375% 06/15/07    130,000.000 PAR       101.152     131,497.60   104.869  12-31-01     136,329.70        4,832.10

OFFIT2 NY.5D0907  Orange Cty NY 5.5% 09/01/07
IAM   01-31-01     250820                                      0.00                                                                      AMORTIZATION
IAM   02-28-01     256293                                      0.00                                                                      AMORTIZATION
IAM   03-31-01     261509                                      0.00                                                                      AMORTIZATION
IAM   04-30-01     265091                                      0.00                                                                      AMORTIZATION
IAM   05-31-01     268004                                      0.00                                                                      AMORTIZATION
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                                                                                                           Market Street Trust Company
04-23-02                                                                                            PURCHASE / SALE DETAIL HISTORY REPORT                                                                                                 PAGE 10
FC3.3                                                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                                      REMAINING       REMAINING
TYPE  TXN DATE TXN NUMBER                 QUANTITY        PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS         QUANTITY      COST BASIS  DESCRIPTION
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IAM   06-30-01     271439                                                 0.00                                                                                AMORTIZATION
IAM   07-31-01     274302                                                 0.00                                                                                AMORTIZATION
IAM   08-31-01     276781                                                 0.00                                                                                AMORTIZATION
IAM   09-30-01     279919                                                 0.00                                                                                AMORTIZATION
IAM   10-31-01     283144                                                 0.00                                                                                AMORTIZATION
IAM   11-30-01     285706                                                 0.00                                                                                AMORTIZATION
IAM   12-31-01     289218                                                 0.00                                                                                AMORTIZATION
                                   --------------               -------------- ------------- --------------- -------------  ------------- --------------
      TOTAL -                                0.000                        0.00           0.00            0.00          0.00                0            0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                   QUANTITY UOM          AVERAGE              COST        PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.6D0907  Orange Cty NY 5.5% 09/01/07              1,000,000.000 PAR          106.309      1,063,090.00      107.713 12-31-01     1,077,130.00        14,040.00

OFFIT2 NY.5D1107  NYS Power Auth 5.5% 11/15/07
PUR   10-11-01     282559            1,000,000.000      111.322   1,113,220.00                                                     1,000,000    1,113,220.00  NYS Power Auth 5.5% 11/15/07
IAM   10-31-01     283145                                                 0.00                                                                                AMORTIZATION
IAM   11-30-01     285707                                                 0.00                                                                                AMORTIZATION
IAM   12-31-01     289219                                                 0.00                                                                                AMORTIZATION
                                   --------------               -------------- ------------- --------------- -------------  ------------- --------------
      TOTAL -                        1,000,000.000                1,113,220.00           0.00            0.00          0.00        1,000,000    1,113,220.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                   QUANTITY UOM          AVERAGE              COST        PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.5D1107  NYS Power Auth 5.5% 11/15/07             1,000,000.000 PAR          111.322      1,113,220.00      108.130 12-31-01     1,081,300.00       -31,920.00

OFFIT2 NY.5F0610  NYS Env Fac Poll 5.75% 06/10
IAM   01-31-01     250821                                                 0.00                                                                                AMORTIZATION
IAM   02-28-01     258294                                                 0.00                                                                                AMORTIZATION
IAM   03-31-01     261510                                                 0.00                                                                                AMORTIZATION
IAM   04-30-01     265092                                                 0.00                                                                                AMORTIZATION
IAM   05-31-01     268006                                                 0.00                                                                                AMORTIZATION
IAM   06-30-01     271440                                                 0.00                                                                                AMORTIZATION
IAM   07-31-01     274303                                                 0.00                                                                                AMORTIZATION
IAM   08-31-01     276782                                                 0.00                                                                                AMORTIZATION
IAM   09-30-01     279920                                                 0.00                                                                                AMORTIZATION
IAM   10-31-01     283146                                                 0.00                                                                                AMORTIZATION
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04-23-02                                                                   Market Street Trust Company                                                          PAGE 11
FC3.3                                                                PURCHASE / SALE DETAIL HISTORY REPORT
                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                     REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
----  -------- ----------  -------------- ---------- ------------ ------------ --------------- ------------- ----------- ------------  -----------
IAM   11-30-01     285708                                    0.00                                                                    AMORTIZATION
IAM   12-31-01     289220                                    0.00                                                                    AMORTIZATION
                           --------------            ------------ ------------ --------------- ------------- ----------- ------------
      TOTAL -                       0.000                    0.00         0.00            0.00          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY 5F0610  NYS Env Fac Poll 5.75% 06/10   1,000,000.000 PAR     105.258   1,052,580.00   109.311 12-31-01   1,093,110.00       40,530.00

OFFIT2 NY.5F0810  NYS Rfdg Ser B 5.7% 8/15/10
IAM   01-31-01     250822                                    0.00                                                                    AMORTIZATION
IAM   02-28-01     255295                                    0.00                                                                    AMORTIZATION
IAM   03-31-01     261511                                    0.00                                                                    AMORTIZATION
IAM   04-30-01     265093                                    0.00                                                                    AMORTIZATION
IAM   05-31-01     268006                                    0.00                                                                    AMORTIZATION
IAM   06-30-01     271441                                    0.00                                                                    AMORTIZATION
IAM   07-31-01     274304                                    0.00                                                                    AMORTIZATION
IAM   08-31-01     276783                                    0.00                                                                    AMORTIZATION
IAM   09-30-01     279921                                    0.00                                                                    AMORTIZATION
IAM   10-31-01     283147                                    0.00                                                                    AMORTIZATION
IAM   11-30-01     285709                                    0.00                                                                    AMORTIZATION
IAM   12-31-01     289221                                    0.00                                                                    AMORTIZATION
                           --------------            ------------ ------------ --------------- ------------- ----------- ------------
      TOTAL -                       0.000                    0.00         0.00            0.00          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE           COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.5F0810  NYS Rfdg Ser B 5.7% 8/15/10      500,000.000 PAR     101.558     507,790.00   105.802 12-31-01     529,010.00       21,220.00

OFFIT2 NY 5F1107  NYC Trans Fin Auth 5.75% 11/07
IAM   01-31-01     250823                                    0.00                                                                    AMORTIZATION
IAM   02-28-01     255296                                    0.00                                                                    AMORTIZATION
IAM   03-31-01     261512                                    0.00                                                                    AMORTIZATION
IAM   04-30-01     265094                                    0.00                                                                    AMORTIZATION
IAM   05-31-01     268007                                    0.00                                                                    AMORTIZATION
IAM   06-30-01     271442                                    0.00                                                                    AMORTIZATION
IAM   07-31-01     274305                                    0.00                                                                    AMORTIZATION
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	08-31-01	276784			0.00						AMORTIZATION
IAM	09-30-01	279922			0.00						AMORTIZATION
IAM	10-31-01	283148			0.00						AMORTIZATION
IAM	11-30-01	285710			0.00						AMORTIZATION
IAM	12-31-01	289222			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT2 NY.5F1107 NYC Trans Fin Auth 5.75% 11/07	500,000.000 PAR	103.410	517,050.00	108.991	12-31-01	544,955.00	27,905.00

OFFIT2 NY.60609 NYC Muni Wtr Fin. [illegible] 06/15/09

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250824			0.00						AMORTIZATION
IAM	02-28-01	255297			0.00						AMORTIZATION
IAM	03-31-01	261513			0.00						AMORTIZATION
IAM	04-30-01	265095			0.00						AMORTIZATION
IAM	05-31-01	268008			0.00						AMORTIZATION
IAM	06-30-01	271443			0.00						AMORTIZATION
IAM	07-31-01	274306			0.00						AMORTIZATION
IAM	08-31-01	276785			0.00						AMORTIZATION
IAM	09-30-01	279923			0.00						AMORTIZATION
IAM	10-31-01	283149			0.00						AMORTIZATION
IAM	11-30-01	285711			0.00						AMORTIZATION
IAM	12-31-01	289223			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
OFFIT2 NY.60609 NYC Muni Wtr Fin. 6% 06/15/09	1,400,000.000 PAR	109.035	1,526,490.00	110.273	12-31-01	1,543,822.00	17,332.00

OFFIT2 NY.6C0622 NYC Muni Wtr 6.375 6/15/22

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250825			0.00						AMORTIZATION
IAM	02-28-01	255298			0.00						AMORTIZATION
IAM	03-31-01	261514			0.00						AMORTIZATION
IAM	04-30-01	265096			0.00						AMORTIZATION

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                                                                              Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 13
FC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS       QUANTITY     COST BASIS DESCRIPTION
----  -------- ----------     ---------------- ----------- ------------ ------------- --------------- -------------  ------------- -------------- -----------
IAM   05-31-01     268009                                          0.00                                                                          AMORTIZATION
IAM   06-30-01     271444                                          0.00                                                                          AMORTIZATION
IAM   07-31-01     274307                                          0.00                                                                          AMORTIZATION
IAM   08-31-01     276786                                          0.00                                                                          AMORTIZATION
IAM   09-30-01     279924                                          0.00                                                                          AMORTIZATION
IAM   10-31-01     283150                                          0.00                                                                          AMORTIZATION
IAM   11-30-01     285712                                          0.00                                                                          AMORTIZATION
IAM   12-31-01     289224                                          0.00                                                                          AMORTIZATION
                              ----------------             ------------ ------------- --------------- -------------  ------------- --------------
      TOTAL -                            0.000                     0.00          0.00            0.00          0.00              0           0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 NY.6C0622  NYC Muni Wtr 6.375 6/15/22      200,000.000 PAR       110.027    220,054.00     103.166  12-31-01     206,332.00      -13,722.00

OFFIT2 PR.4E1011  Puerto Rico 4.750% 10/01/11
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 PR.4E1011  Puerto Rico 4.750% 10/01/11   1,000,000.000 PAR       100.000  1,000,000.00     103.662  12-31-01   1,036,620.00       36,620.00

OFFIT2 Pierpont   J.P. Morgan Funds
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      OFFIT2 Pierpont   J.P. Morgan Funds                      0.000 UNTS       1.000          0.00       1.000  12-31-01           0.00            0.00

OFFIT2 US.5A0306  Federal Home Ln Bk 5.125% 3/06
PUR   05-16-01     267805         3,000,000.000      98.465 2,953,944.00                                                    500,000     492,324.00 Federal Home Ln Bk 5.125 03/06
PUR   07-11-01     272673         1,000,000.000      98.969   989,687.50                                                  1,000,000     989,687.50 Fed Home Ln Bk 5.125% 03/06/06
SAL   10-11-01     281106          -700,000.000     103.414                  723,898.70     -689,253.60     34,645.10                              FEDERAL HOME LOAN BANK CONS 5 1/8% MAR 6 2006 DTD 3/06/01 @ 103.4141 BK OF NYC/$
SAL   10-29-01     283130          -500,000.000     104.227                  521,132.81     -492,324.00     28,808.81                              Fed. Home Ln Bk 5.125% 3/6/06
SAL   10-30-01     282737          -300,000.000     104.535                  313,605.47     -295,394.40     18,211.07                              Fed. Home Ln Bk 5.125% 3/6/06
SAL   11-01-01     283646        -1,000,000.000     105.336                1,053,359.00     -984,648.00     68,711.00                              FEDERAL HOME LOAN BANK CONS 5 1/8% MAR 6 2006 DTD 3/06/01 @ 105.3359 BK OF NYC/$
                              ----------------             ------------ ------------- --------------- -------------  ------------- --------------
      TOTAL -                    1,500,000.000             3,943,631.50  2,611,995.98   -2,461,620.00    150,375.98      1,500,000   1,482,011.50
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                                                                                     Market Street Trust Company
04-23-02                                                                        PURCHASE / SALE DETAIL HISTORY REPORT                                                        PAGE 14
FC3.3                                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                                   REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE           COST       PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      OPPIT2 US.6A0306  Federal Home Ln Bk 5.125% 3/06    1,100,000.000 PAR         98.923   1,088,152.30    101.797  12-31-01   1,526,955.00      438,802.70

OPPIT2 US.5F0211  Fed Home Ln Bk 6.875% 2/15/11
PUR   07-11-01     272674     1,000,000.000     98.691     986,910.00                                                     0          0.00  Fed Home Ln Bk 5.875% 02/15/11
SAL   11-19-01     285238    -1,000,000.000    102.922                 1,029,220.00     -986,910.00     42,310.00                          Fed. Home Ln Bk 5.875 2/15/11
                             ----------------              ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000                986,910.00  1,029,220.00     -986,910.00     42,310.00             0          0.00

OPPIT2 US.7B0207  Federal Home Ln Bk 7.25% 02/07
IAM   01-31-01     250826                                        0.00                                                                      AMORTIZATION
IAM   02-28-01     255299                                        0.00                                                                      AMORTIZATION
IAM   03-31-01     261515                                        0.00                                                                      AMORTIZATION
IAM   04-30-01     265097                                        0.00                                                                      AMORTIZATION
IAM   05-31-01     268010                                        0.00                                                                      AMORTIZATION
IAM   06-30-01     271445                                        0.00                                                                      AMORTIZATION
IAM   07-31-01     274308                                        0.00                                                                      AMORTIZATION
IAM   08-31-01     276787                                        0.00                                                                      AMORTIZATION
IAM   09-30-01     279925                                        0.00                                                                      AMORTIZATION
IAM   10-31-01     283151                                        0.00                                                                      AMORTIZATION
IAM   11-30-01     285713                                        0.00                                                                      AMORTIZATION
IAM   12-31-01     289225                                        0.00                                                                      AMORTIZATION
                             ----------------              ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000                      0.00          0.00            0.00          0.00             0          0.00


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   REPORT TOTAL -                                         19,164,856.63 18,325,244.91  -18,107,943.93    217,300.98   6,052,370  6,300,031.03
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	02-28-01	255436			0.00						AMORTIZATION
IAM	03-31-01	261744			0.00						AMORTIZATION
IAM	04-30-01	266260			0.00						AMORTIZATION
IAM	05-31-01	268181			0.00						AMORTIZATION
IAM	06-30-01	271911			0.00						AMORTIZATION
SAL	07-11-01	272756	-210,000.000	100.000		210,000.00	-218,662.50	-8,662.50			ILLINOIS HOUSING DEVELOPMENT AUTH MULTI-FAMILY HSG REV 6.65% C JUL 1 2001 DTD 8/
	TOTAL -		-210,000.000		0.00	210,000.00	-218,662.50	-8,662.50	0	0.00	
SAM1	IL.7G1204	Kne Cty Sc Dst 7.875% 12/30/04									
IAM	01-31-01	250687			0.00						AMORTIZATION
IAM	02-28-01	255437			0.00						AMORTIZATION
IAM	03-31-01	261745			0.00						AMORTIZATION
IAM	04-30-01	265261			0.00						AMORTIZATION
IAM	05-31-01	268182			0.00						AMORTIZATION
IAM	06-30-01	271912			0.00						AMORTIZATION
IAM	07-31-01	274474			0.00						AMORTIZATION
IAM	08-31-01	277010			0.00						AMORTIZATION
IAM	09-30-01	280126			0.00						AMORTIZATION
IAM	10-31-01	283298			0.00						AMORTIZATION
IAM	11-30-01	286228			0.00						AMORTIZATION
IAM	12-31-01	289457			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAM1	IL.7G1204	Kne Cty Sc Dst 7.875% 12/30/04	425,000.000	PAR	114.910	488,367.25	113.377	12-31-01	481,852.25	-6,515.00

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAM1	JPMSWEEP	J P Morgan Money Market Sweep									
PUR	01-19-01	249019	168,015.000	1.000	168,015.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-19-01	249020	115,601.330	1.000	115,601.33				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	01-19-01	249021	-1,952.440	1.000		1,952.44	-1,952.44	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	01-23-01	249580	666.660	1.000	666.66				0	0.00	Prime Money Market Sweep Fund
SAL	01-25-01	249581	-201,802.500	1.000		201,802.50	-201,802.50	0.00			Prime Money Market Sweep Fund
PUR	02-15-01	251764	155,000.000	1.000	155,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	02-15-01	251765	-80,000.000	1.000		80,000.00	-80,000.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	02-20-01	252220	-23,861.470	1.000		23,861.47	-23,861.47	0.00			Prime Money Market Sweep Fund
SAL	02-22-01	252221	-15,638.390	1.000		15,638.39	-15,638.39	0.00			Prime Money Market Sweep Fund
PUR	03-15-01	256985	1,061,005.000	1.000	1,061,005.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	03-15-01	256986	-810,928.470	1.000		810,928.47	-810,928.47	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	03-15-01	256987	-70,426.420	1.000		70,426.42	-70,426.42	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	03-15-01	256988	-5,437.500	1.000		5,437.50	-5,437.50	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262930	3,341,507.150	1.000	3,341,507.15				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	04-18-01	262931	853,235.480	1.000	853,235.48				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-18-01	262932	-3,634,991.980	1.000		3,634,991.98	-3,634,991.98	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-18-01	262933	-466,667.000	1.000		466,667.00	-466,667.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-18-01	262934	-1,934.690	1.000		1,934.69	-1,934.69	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	04-20-01	263786	-175,873.950	1.000		175,873.95	-175,873.95	0.00			Prime Money Market Sweep Fund
SAL	04-26-01	263787	-22,570.770	1.000		22,570.77	-22,570.77	0.00			Prime Money Market Sweep Fund
PUR	05-16-01	266253	344,439.860	1.000	344,439.86				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-16-01	266254	21,948.740	1.000	21,948.74				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-16-01	266255	219,188.430	1.000	219,188.43				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	05-16-01	266256	500,000.000	1.000	500,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-16-01	266257	-530,628.930	1.000		530,628.93	-530,628.93	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	05-18-01	267009	-480,713.700	1.000		480,713.70	-480,713.70	0.00			Prime Money Market Sweep Fund
SAL	05-24-01	267116	-25,145.260	1.000		25,145.26	-25,145.26	0.00			Prime Money Market Sweep Fund
PUR	06-13-01	268537	32,503.210	1.000	32,503.21				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	06-13-01	268538	-235,278.210	1.000		235,278.21	-235,278.21	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	06-22-01	270545	1,072,660.700	1.000	1,072,660.70				0	0.00	Prime MM Sweep Fund
SAL	06-28-01	270547	-967,203.000	1.000		967,203.00	-967,203.00	0.00			Prime MM Sweep Fund
PUR	07-11-01	272757	210,000.000	1.000	210,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	07-11-01	272758	173,922.000	1.000	173,922.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	07-11-01	272759	1,116,384.000	1.000	1,116,384.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	07-11-01	272760	-193,102.000	1.000		193,102.00	-193,102.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	07-18-01	273061	-1,552.580	1.000		1,552.58	-1,552.58	0.00			Prime MM Sweep Fund
SAL	07-19-01	273062	-18,592.110	1.000		18,592.11	-18,592.11	0.00			Prime MM Sweep Fund
SAL	07-25-01	273434	-541,590.000	1.000		541,590.00	-541,590.00	0.00			Prime MM Sweep Fund
SAL	08-10-01	274694	-541,430.000	1.000		541,430.00	-541,430.00	0.00			PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
PUR	08-15-01	275666	165,000.000	1.000	165,000.00				0	0.00	PRIME MONEY MARKET SWEEP FUND (SWEEP DEADLINE IS 4:30 PM EST)
SAL	08-27-01	276250	-326,724.000	1.000		326,724.00	-326,724.00	0.00			Prime MM Sweep Fund
PUR	09-12-01	278228	150,000.000	1.000	150,000.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:
PUR	09-12-01	278229	1,147,110.000	1.000	1,147,110.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:
PUR	09-24-01	278960	123,337.410	1.000	123,337.41				0	0.00	Prime MM Sweep Fund

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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	09-25-01	278973	-453,308.000	1.000		453,308.00	-453,308.00	0.00			Prime MM Sweep Fund
PUR	10-15-01	281176	120,000.000	1.000	120,000.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	10-15-01	281177	248,820.630	1.000	248,820.63				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281178	-542,495.000	1.000		542,495.00	-542,495.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-15-01	281179	-724,920.630	1.000		724,920.63	-724,920.63	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	10-18-01	281676	-1,519.700	1.000		1,519.70	-1,519.70	0.00			Prime MM Sweep Fund
SAL	10-22-01	282196	-19,332.430	1.000		19,332.43	-19,332.43	0.00			Prime MM Sweep Fund
PUR	11-07-01	284186	26,990.000	1.000	26,990.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	11-07-01	284187	988,821.000	1.000	988,821.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	11-07-01	284188	-993,150.000	1.000		993,150.00	-993,150.00	0.00			JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	12-04-01	287274	80,000.000	1.000	80,000.00				0	0.00	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
PUR	12-04-01	287275	1,098,290.000	1.000	1,098,290.00				367,320	367,319.50	JP MORGAN PRIME MONEY MARKET PREMIERCLASS SWEEP FUND (350) SWEEP DEADLINE IS 4:3
SAL	12-14-01	287712	-1,061,600.000	1.000		1,061,600.00	-1,061,600.00	0.00			Prime MM Sweep Fund
	TOTAL -		364,075.470		13,634,446.60	13,170,371.13	-13,170,371.13	0.00	367,320	367,319.50	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1	JPMSWEEP	J P Morgan Money Market Sweep	8,202.780	UNTS	1.000	8,202.78	1.000	12-31-01	367,319.50	359,116.72

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAW1	KY.51008	Jfsn Cty KY Hln Sys5% 10/01/08									
IAM	01-31-01	250688			0.00						AMORTIZATION
SAL	02-28-01	253222	-500,000.000	105.178		525,890.00	-526,770.00	-880.00			Jefferson Cty 5% 10/1/08
IAM	02-28-01	255438			0.00						AMORTIZATION
IAM	03-31-01	261746			0.00						AMORTIZATION
IAM	04-30-01	265262			0.00						AMORTIZATION
SAL	05-31-01	268093	-100,000.000	104.850		104,850.00	-105,354.00	-504.00			Jefferson Cty 5% 10/1/08
	TOTAL -		-600,000.000		0.00	630,740.00	-632,124.00	-1,384.00	0	0.00	
SAW1	MA.5D0709	MA WHSL ELEC 5.5% 07/01/09									
PUR	11-02-01	284190	900,000.000	110.350	993,150.00				900,000	993,150.00	MA WHSL ELEC 5.5% 07/01/09
IAM	11-30-01	286229			0.00						AMORTIZATION
IAM	12-31-01	289458			0.00						AMORTIZATION
	TOTAL -		900,000.000		993,150.00	0.00	0.00	0.00	900,000	993,150.00	

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                                                                   Market Street Trust Company
04-23-02                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                 PAGE 66
FC3.3                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER             QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE         COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      SAM1   MA.6D0709  MA WHSL ELEC 5.5% 07/01/09     900,000.000 PAR       110.350   993,150.00    106.175 12-31-01     955,575.00      -37,575.00

SAM1  MI.4F1204  Bishop Intl Arpt 4.75% 12/1/04
IAM   01-31-01      250689                                 0.00                                                                    AMORTIZATION
IAM   02-28-01      255439                                 0.00                                                                    AMORTIZATION
IAM   03-31-01      261747                                 0.00                                                                    AMORTIZATION
IAM   04-30-01      265263                                 0.00                                                                    AMORTIZATION
IAM   05-31-01      268183                                 0.00                                                                    AMORTIZATION
IAM   06-30-01      271913                                 0.00                                                                    AMORTIZATION
IAM   07-31-01      274475                                 0.00                                                                    AMORTIZATION
IAM   08-31-01      277011                                 0.00                                                                    AMORTIZATION
IAM   09-30-01      280127                                 0.00                                                                    AMORTIZATION
IAM   10-31-01      283299                                 0.00                                                                    AMORTIZATION
IAM   11-30-01      286230                                 0.00                                                                    AMORTIZATION
IAM   12-31-01      289459                                 0.00                                                                    AMORTIZATION
                                  ------------             ------------ ------------ ------------ ------------  ----------- ------------
      TOTAL -                            0.000                     0.00         0.00         0.00         0.00            0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE         COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      SAM1   MI.4F1204  Bishop Intl Arpt 4.75% 12/1/04 735,000.000 PAR       102.467   753,132.45    102.147 12-31-01     750,780.45       -2,352.00

SAM1  MI.4G1117  MI St Hosp Chars.800% 11/01/17
IAM   01-31-01      250690                                 0.00                                                                    AMORTIZATION
IAM   02-28-01      255440                                 0.00                                                                    AMORTIZATION
IAM   03-31-01      261748                                 0.00                                                                    AMORTIZATION
IAM   04-30-01      265264                                 0.00                                                                    AMORTIZATION
IAM   05-31-01      268184                                 0.00                                                                    AMORTIZATION
IAM   06-30-01      271914                                 0.00                                                                    AMORTIZATION
IAM   07-31-01      274476                                 0.00                                                                    AMORTIZATION
IAM   08-31-01      277012                                 0.00                                                                    AMORTIZATION
IAM   09-30-01      280128                                 0.00                                                                    AMORTIZATION
CNVFR 10-12-01      281181             -45,000.000    104.443                 44,866.80   -44,866.80         0.00                      Mich State Hosp. name change
IAM   10-31-01      283300                                 0.00                                                                    AMORTIZATION
IAM   11-30-01      286231                                 0.00                                                                    AMORTIZATION
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                                                                                    Market Street Trust Company
04-23-02                                                                      PURCHASE / SALE DETAIL HISTORY REPORT
FC3.3                                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY        PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY    COST BASIS  DESCRIPTION
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IAM   12-31-01      289460                                          0.00                                                                        AMORTIZATION
                               --------------              -------------  ------------  ------------  ------------  ------------  ------------
      TOTAL -                     -45,000.000                       0.00     44,866.80    -44,866.80          0.00             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAW1   MI.4G1127  MI St Hosp Char4.800% 11/01/17    770,000.000 PAR         99.553    766,659.20     103.463  12-31-01     796,665.10       30,105.90

SAW1   MI.4G1127B MI St Hosp Char4.800% 11/01/17
CNVTO 10-12-01      281181         45,000.000      99.704      44,866.80                                                      0          0.00  Mich State Hosp. name change
SAL   10-31-01      283169        -45,000.000     100.000                    45,000.00    -44,866.80        133.20                              Michigan St Hosp 4.8% 11/1/17
                               --------------              -------------  ------------  ------------  ------------  ------------  ------------
      TOTAL -                           0.000                  44,866.80     45,000.00    -44,866.80        133.20             0          0.00

SAW3   MI.5B1133  MI Ste Hosp Fnce 5.2% 11/15/33
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAW1   MI.5B1133  MI Ste Hosp Fnce 5.2% 11/15/33    500,000.000 PAR        100.000    500,000.00     103.853  12-31-01     519,265.00       19,265.00

SAW1   MI.5D0709  Wyne Cty MI Coll 5.5% 7/1/09
IAM   01-31-01      250691                                          0.00                                                                        AMORTIZATION
IAM   02-28-01      255441                                          0.00                                                                        AMORTIZATION
IAM   03-31-01      261749                                          0.00                                                                        AMORTIZATION
IAM   04-30-01      266265                                          0.00                                                                        AMORTIZATION
SAL   05-03-01      266269       -335,000.000     107.459                   359,987.66   -346,597.70     13,389.96                              Wayne CTY CC 5.5% 7/01/09
                               --------------              -------------  ------------  ------------  ------------  ------------  ------------
      TOTAL -                    -335,000.000                       0.00    369,987.66   -346,597.70     13,389.96             0          0.00

SAW1   MI.5D1107  MI St Trunk 5.5% 11/01/07
PUR   07-13-01      274389        500,000.000     108.286     541,430.00                                                500,000    541,430.00  MI St. Trunk 5.5% 11/01/07
IAM   07-31-01      274477                                          0.00                                                                        AMORTIZATION
IAM   08-31-01      277013                                          0.00                                                                        AMORTIZATION
IAM   09-30-01      280129                                          0.00                                                                        AMORTIZATION
IAM   10-31-01      283301                                          0.00                                                                        AMORTIZATION
IAM   11-30-01      286232                                          0.00                                                                        AMORTIZATION
IAM   12-31-01      289461                                          0.00                                                                        AMORTIZATION
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                                                                                                          Market Street Trust Company
04-23-02                                                                                              PURCHASE / SALE DETAIL HISTORY REPORT                                                                              PAGE 67
PC3.3                                                                                                 BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                                      REMAINING       REMAINING
TYPE TXN DATE TXN NUMBER                   QUANTITY        PRICE      COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS       QUANTITY      COST BASIS DESCRIPTION
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      TOTAL -                         500,000.000                   541,430.00          0.00            0.00          0.00         500,000      541,430.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                     QUANTITY UOM         AVERAGE              COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   MI.5D1107  MI St Trunk 5.5% 11/01/07                    500,000.000 PAR         108.286        541,430.00      107.326  12-31-01     536,630.00       -4,800.00

SAW1   MI.6C0405  MI St Hsg Dev 6.40% 04/01/05
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                     QUANTITY UOM         AVERAGE              COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   MI.6C0405  MI St Hsg Dev 6.40% 04/01/05                 450,000.000 PAR         107.625        484,312.50      104.229  12-31-01     469,030.50      -15,282.00

SAW1   MS.6D0905  MS. Revolving Ln 6.5% 09/01/05
IAM   01-31-01     250692                                                   0.00                                                                                 AMORTIZATION
IAM   02-28-01     255442                                                   0.00                                                                                 AMORTIZATION
IAM   03-31-01     261750                                                   0.00                                                                                 AMORTIZATION
IAM   04-30-01     265266                                                   0.00                                                                                 AMORTIZATION
IAM   05-31-01     268185                                                   0.00                                                                                 AMORTIZATION
IAM   06-30-01     271915                                                   0.00                                                                                 AMORTIZATION
IAM   07-31-01     274478                                                   0.00                                                                                 AMORTIZATION
IAM   08-31-01     277014                                                   0.00                                                                                 AMORTIZATION
IAM   09-30-01     280130                                                   0.00                                                                                 AMORTIZATION
IAM   10-31-01     283302                                                   0.00                                                                                 AMORTIZATION
IAM   11-30-01     286233                                                   0.00                                                                                 AMORTIZATION
IAM   12-31-01     289462                                                   0.00                                                                                 AMORTIZATION
                               ------------                 ------------ ------------- --------------- -------------  -------------- ---------------
      TOTAL -                               0.000                         0.00          0.00            0.00          0.00               0            0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                     QUANTITY UOM         AVERAGE              COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   MS.6D0905  MS. Revolving Ln 6.5% 09/01/05               500,000.000 PAR         106.806        534,030.00      110.610  12-31-01     553,050.00       19,020.00

SAW1   MS.6F0905  Jcksn MS Wtr  6.75% 09/01/05
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                     QUANTITY UOM         AVERAGE              COST        PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   MS.6F0905  Jcksn MS Wtr  6.75% 09/01/05                 930,000.000 PAR         110.579      1,028,384.70      111.427  12-31-01   1,036,271.10        7,886.40

SAW1   NJ.5B0209  NJ Hlth Cr 6.25% 02/01/09
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04-23-02                                                                          Market Street Trust Company                                                    PAGE 68
FCI 3                                                                         PURCHASE / SALE DETAIL HISTORY REPORT
                                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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IAM   01-31-01     250693                                      0.00                                                                       AMORTIZATION
IAM   02-28-01     255403                                      0.00                                                                       AMORTIZATION
IAM   03-31-01     261751                                      0.00                                                                       AMORTIZATION
IAM   04-30-01     265267                                      0.00                                                                       AMORTIZATION
IAM   05-31-01     268186                                      0.00                                                                       AMORTIZATION
SAL   06-28-01     271821     -100,000.000    106.898                  106,898.00     -103,497.00      3,401.00                           NJ Healthcare 5.25% 02/01/09
IAM   06-30-01     271916                                      0.00                                                                       AMORTIZATION
IAM   07-31-01     274479                                      0.00                                                                       AMORTIZATION
IAM   08-31-01     277015                                      0.00                                                                       AMORTIZATION
IAM   09-30-01     280131                                      0.00                                                                       AMORTIZATION
IAM   10-31-01     283303                                      0.00                                                                       AMORTIZATION
IAM   11-30-01     286234                                      0.00                                                                       AMORTIZATION
IAM   12-31-01     289463                                      0.00                                                                       AMORTIZATION
                               ---------------            ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                 -100,000.000                     0.00    106,898.00     -103,497.00      3,401.00             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE           COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      SAM1   NJ.580205  NJ Hlth Cr 5.25% 02/01/09    900,000.000 PAR      103.497     931,473.00    104.991 12-31-01     944,919.00       13,446.00

SAM1   NJ.5F0207  NJ Transport 5.75% 02/01/07
IAM   01-31-01     250694                                      0.00                                                                       AMORTIZATION
IAM   02-28-01     255444                                      0.00                                                                       AMORTIZATION
SAL   03-30-01     269255   -1,250,000.000    109.319                1,366,487.60   -1,316,775.00     49,712.50                           NJ Trans Corp 5.75% 02/01/07
                               ---------------            ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -               -1,250,000.000                     0.00  1,366,487.60   -1,316,775.00     49,712.50             0          0.00

SAM1   NJ.60111   NJ Turnpike Auth 6% 01/01/11
IAM   01-31-01     250695                                      0.00                                                                       AMORTIZATION
IAM   02-28-01     255445                                      0.00                                                                       AMORTIZATION
IAM   03-31-01     261752                                      0.00                                                                       AMORTIZATION
IAM   04-30-01     265268                                      0.00                                                                       AMORTIZATION
IAM   05-31-01     268187                                      0.00                                                                       AMORTIZATION
IAM   06-30-01     271917                                      0.00                                                                       AMORTIZATION
IAM   07-31-01     274480                                      0.00                                                                       AMORTIZATION
IAM   08-31-01     277016                                      0.00                                                                       AMORTIZATION
IAM   09-30-01     280132                                      0.00                                                                       AMORTIZATION
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                                                                                                        REMAINING     REMAINING
ENTITY INVESTMENT DESCRIPTION
TYPE  TXN DATE TXN NUMBER       QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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IAM   10-31-01     283304                                   0.00                                                                    AMORTIZATION
IAM   11-30-01     286235                                   0.00                                                                    AMORTIZATION
IAM   12-31-01     289464                                   0.00                                                                    AMORTIZATION
                            -------------           ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                       0.000                   0.00          0.00            0.00          0.00           0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      SAM1   NJ.60111   NJ Turnpike Auth 6% 01/01/11   1,000,000.000 PAR     106.180  1,061,795.00    110.945 12-31-01   1,109,450.00       47,655.00

SAM1  NJ.60606    NJ Trans Tr Fd 6% 06/15/06
PUR   10-24-01     283165   1,000,000.000   111.801 1,118,010.00                                                1,000,000 1,118,010.00 NJ Trans Tr Fd 6% 06/15/06
IAM   11-30-01     286236                                   0.00                                                                    AMORTIZATION
IAM   12-31-01     289465                                   0.00                                                                    AMORTIZATION
                            -------------           ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -               1,000,000.000           1,118,010.00          0.00            0.00          0.00   1,000,000 1,118,010.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM      AVERAGE          COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      SAM1   NJ.60606   NJ Trans Tr Fd 6% 06/15/06     1,000,000.000 PAR     111.801  1,118,010.00    109.224 12-31-01   1,092,240.00      -25,770.00

SAM1  NV.SD0608X Clrk Cty NV Sch 5.5% 06/15/08
IAM   01-31-01     250696                                   0.00                                                                    AMORTIZATION
IAM   02-28-01     255446                                   0.00                                                                    AMORTIZATION
IAM   03-31-01     261753                                   0.00                                                                    AMORTIZATION
IAM   04-30-01     265269                                   0.00                                                                    AMORTIZATION
SAL   05-08-01     266270     -75,000.000   106.707                  80,030.25      -78,110.25      1,920.00                            Clark Cty Schl 5.5% 06/15/08
IAM   05-31-01     268188                                   0.00                                                                    AMORTIZATION
IAM   06-30-01     271918                                   0.00                                                                    AMORTIZATION
IAM   07-31-01     274481                                   0.00                                                                    AMORTIZATION
IAM   08-31-01     277017                                   0.00                                                                    AMORTIZATION
IAM   09-30-01     280133                                   0.00                                                                    AMORTIZATION
IAM   10-31-01     283305                                   0.00                                                                    AMORTIZATION
IAM   11-30-01     286237                                   0.00                                                                    AMORTIZATION
IAM   12-31-01     289466                                   0.00                                                                    AMORTIZATION
                            -------------           ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                 -75,000.000                   0.00     80,030.25      -78,110.25      1,920.00           0         0.00
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                                                                              Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                            PAGE 70
FC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE TXN DATE TXN NUMBER            QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE           COST     PRICE    DATE    MARKET VALUE  UNREALIZED G/L
     SAM1   NV.SD0608X Clrk Cty NV Sch 5.5% 06/15/08        675,000.000 PAR      104.147     702,992.25   106.625  12-31-01     719,718.75       16,726.50

SAM1  NV.60606   Clark Cty Gen Purp 6% 06/01/06
IAM  01-31-01      250697                                          0.00                                                                  AMORTIZATION
IAM  02-28-01      255447                                          0.00                                                                  AMORTIZATION
IAM  03-31-01      261754                                          0.00                                                                  AMORTIZATION
IAM  04-30-01      265270                                          0.00                                                                  AMORTIZATION
IAM  05-31-01      268189                                          0.00                                                                  AMORTIZATION
IAM  06-30-01      271919                                          0.00                                                                  AMORTIZATION
IAM  07-31-01      274482                                          0.00                                                                  AMORTIZATION
IAM  08-31-01      277018                                          0.00                                                                  AMORTIZATION
IAM  09-30-01      280134                                          0.00                                                                  AMORTIZATION
IAM  10-31-01      283306                                          0.00                                                                  AMORTIZATION
IAM  11-30-01      286238                                          0.00                                                                  AMORTIZATION
IAM  12-31-01      289467                                          0.00                                                                  AMORTIZATION
                               -------------            ------------ ------------- --------------- ------------- ---------- -------------
     TOTAL -                           0.000                    0.00          0.00            0.00          0.00          0          0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE           COST     PRICE    DATE    MARKET VALUE  UNREALIZED G/L
     SAM1   NV.60606   Clark Cty Gen Purp 6% 06/01/06       955,000.000 PAR      104.414     997,153.70   109.190  12-31-01   1,042,764.50       45,610.80

SAM1  NY.5A0805  NY MCARE H&N FHA 5.2 8/15/05
SAL  01-31-01      250589         -30,000.000    100.000                  30,000.00      -30,000.00          0.00                            NYS Med H&N MTGE 5.2% 08/15/05
SAL  08-15-01      275668         -10,000.000    100.000                  10,000.00      -10,000.00          0.00                            NEW YORK STATE MEDICAL CARE FACILITIES FINANCE AGENCY REV HOSP &NURSES MTGE 5.2
                               -------------            ------------ ------------- --------------- ------------- ---------- -------------
     TOTAL -                     -40,000.000                    0.00     40,000.00      -40,000.00          0.00          0          0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                             QUANTITY UOM      AVERAGE           COST     PRICE    DATE    MARKET VALUE  UNREALIZED G/L
     SAM1   NY.5A0805  NY MCARE H&N FHA 5.2 8/15/05          55,000.000 PAR      100.000      55,000.00   104.785  12-31-01      78,588.75       23,588.75

SAM1  NY.5B0908  NY Unitd TX 5.50% 09/15/08
IAM  01-31-01      250698                                          0.00                                                                  AMORTIZATION
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	02-28-01	255448			0.00						AMORTIZATIO
IAM	03-31-01	261755			0.00						AMORTIZATIO
IAM	04-30-01	265271			0.00						AMORTIZATION
SAL	05-01-01	266241	-1,000,000.000	107.557		1,075,570.00	-1,064,870.00	10,700.00			STATE OF NEW YORK REF UNLIMITED TAX 5 1/2% F SEP 15 2008 DTD 7/15/98 AMBAC INSUR
	TOTAL -		-1,000,000.000		0.00	1,075,570.00	-1,064,870.00	10,700.00	0	0.00	
SAW1	NY.5C0804	NY M Care Surg Rep 5.4 8/15/04									
SAL	01-31-01	250698	-125,000.000	100.000		125,000.00	-125,000.00	0.00			NYS Med Surgery 5.4% 08/15/04
SAL	07-31-01	274384	-155,000.000	100.000		155,000.00	-155,000.00	0.00			NYS Med Care Surg 5.4% 8/15/04
	TOTAL -		-280,000.000		0.00	280,000.00	-280,000.00	0.00	0	0.00	
SAW1	NY.60111	Tribirough Bdg Javits 6% 01/11									
IAM	01-31-01	250699			0.00						AMORTIZATION
IAM	02-28-01	255449			0.00						AMORTIZATION
IAM	03-31-01	261756			0.00						AMORTIZATION
IAM	04-30-01	265272			0.00						AMORTIZATION
IAM	05-31-01	268190			0.00						AMORTIZATION
IAM	06-30-01	271920			0.00						AMORTIZATION
IAM	07-31-01	274483			0.00						AMORTIZATION
IAM	08-31-01	277019			0.00						AMORTIZATION
IAM	09-30-01	280135			0.00						AMORTIZATION
IAM	10-31-01	283307			0.00						AMORTIZATION
IAM	11-30-01	286239			0.00						AMORTIZATION
IAM	12-31-01	289468			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION	QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1 NY.60111 Tribirough Bdg Javits 6% 01/11	750,000.000 PAR	105.520	791,400.00	110.555	12-31-01	829,162.50	37,762.50

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAW1	NY.680705	NY Muni Asst NYC 6.25% 7/1/05									
IAM	01-31-01	250700			0.00						AMORTIZATION
IAM	02-28-01	255450			0.00						AMORTIZATION
IAM	03-31-01	261757			0.00						AMORTIZATION

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                                                                         Market Street Trust Company
04-23-02                                                             PURCHASE / SALE DETAIL HISTORY REPORT                                                        PAGE 72
FC3.3                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION ..                                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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IAM   04-30-01      265273                                      0.00                                                                           AMORTIZATION
IAM   05-31-01      268191                                      0.00                                                                           AMORTIZATION
IAM   06-30-01      271921                                      0.00                                                                           AMORTIZATION
IAM   07-31-01      274484                                      0.00                                                                           AMORTIZATION
IAM   08-31-01      277020                                      0.00                                                                           AMORTIZATION
IAM   09-30-01      280136                                      0.00                                                                           AMORTIZATION
IAM   10-31-01      283308                                      0.00                                                                           AMORTIZATION
IAM   11-30-01      286240                                      0.00                                                                           AMORTIZATION
IAM   12-31-01      289469                                      0.00                                                                           AMORTIZATION
                              -------------             ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                         0.000                     0.00           0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   NY.680705  NY Muni Asst NYC 6.25% 7/1/05  500,000.000 PAR     110.128    550,640.00    109.723  12-31-01     548,615.00       -2,025.00

SAW1  NYS.50407  NYS Urb Dev 5.% 04/01/07
IAM   01-31-01      250701                                      0.00                                                                           AMORTIZATION
IAM   02-28-01      255451                                      0.00                                                                           AMORTIZATION
IAM   03-31-01      261758                                      0.00                                                                           AMORTIZATION
IAM   04-30-01      265274                                      0.00 .                                                                         AMORTIZATION
SAL   05-03-01      266244    -1,000,000.000    104.563                1,045,630.00   -1,056,780.00    -11,150.00                               NEW YORK STATE URBAN DEVELOPMENT CORP REV COMMUNITY ENHANCEMENT FACIL5% APR 1 2(
                              --------------            ------------  ------------- --------------- -------------  ----------  ------------
      TOTAL -                 -1,000,000.000                    0.00   1,045,630.00   -1,056,780.00    -11,150.00           0          0.00

SAW1  NYS.580102 NYS Dormitory Au 5.25% 7/1/02
IAM   01-31-01      250702                                      0.00                                                                           AMORTIZATION
IAM   02-28-01      255452                                      0.00                                                                           AMORTIZATION
IAM   03-31-01      261759                                      0.00                                                                           AMORTIZATION
IAM   04-30-01      265275                                      0.00                                                                           AMORTIZATION
IAM   05-31-01      268192                                      0.00                                                                           AMORTIZATION
IAM   06-30-01      271922                                      0.00                                                                           AMORTIZATION
IAM   07-31-01      274485                                      0.00                                                                           AMORTIZATION
IAM   08-31-01      277021                                      0.00                                                                           AMORTIZATION
IAM   09-30-01      280137                                      0.00                                                                           AMORTIZATION
IAM   10-31-01      283309                                      0.00                                                                           AMORTIZATION
IAM   11-30-01      286241                                      0.00                                                                           AMORTIZATION
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04-23-02                                                                            Market Street Trust Company
FC3.3                                                                         PURCHASE / SALE DETAIL HISTORY REPORT                                                         PAGE 73
                                                                              BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                            REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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IAM   12-31-01     289470                                       0.00                                                                        AMORTIZATION
                              -------------             ------------  ------------ --------------- -------------  ----------  ------------
      TOTAL -                         0.000                     0.00          0.00            0.00          0.00           0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM        AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAN1   NYS.SB0102 NYS Dormitory Au 5.25% 7/1/02   1,000,000.000 PAR       101.946   1,019,460.00    101.528 12-31-01   1,015,280.00       -4,180.00

SAN1   OH.50605  Blnt Cty OH Hlth 5% 01/01/05
SAL   06-19-01     270543    -1,055,000.000    101.674                1,072,660.70   -1,069,653.95      3,006.75                            Belmont OH HLTH 5% 01/01/05
                              -------------             ------------  ------------ --------------- -------------  ----------  ------------
      TOTAL -                -1,055,000.000                     0.00  1,072,660.70   -1,069,653.95      3,006.75           0          0.00

SAN1   OH.5D1008  Ohio BLDG Auch 5.5% 10/01/08
PUR   06-22-01     271820       200,000.000    108.408    216,816.00                                                 200,000    216,816.00  OHIO BLDG Auch 5.5% 10/01/08
IAM   07-31-01     274486                                       0.00                                                                        AMORTIZATION
IAM   08-31-01     277022                                       0.00                                                                        AMORTIZATION
IAM   09-30-01     280138                                       0.00                                                                        AMORTIZATION
IAM   10-31-01     283110                                       0.00                                                                        AMORTIZATION
IAM   11-30-01     286242                                       0.00                                                                        AMORTIZATION
IAM   12-31-01     289471                                       0.00                                                                        AMORTIZATION
                              -------------             ------------  ------------ --------------- -------------  ----------  ------------
      TOTAL -                   200,000.000               216,816.00          0.00            0.00          0.00     200,000    216,816.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM        AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAN1   OH.5D1008  Ohio BLDG Auch 5.5% 10/01/08      200,000.000 PAR       108.408     216,816.00    107.919 12-31-01     215,838.00         -978.00

SAN1   OH.5D1209  Hamilton Cty tax 5.5% 12/01/09
IAM   01-31-01     250703                                       0.00                                                                        AMORTIZATION
IAM   02-28-01     255463                                       0.00                                                                        AMORTIZATION
IAM   03-31-01     261760                                       0.00                                                                        AMORTIZATION
IAM   04-30-01     265376                                       0.00                                                                        AMORTIZATION
IAM   05-31-01     268193                                       0.00                                                                        AMORTIZATION
IAM   06-30-01     271923                                       0.00                                                                        AMORTIZATION
IAM   07-31-01     274487                                       0.00                                                                        AMORTIZATION
IAM   08-31-01     277023                                       0.00                                                                        AMORTIZATION
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                                                                 Market Street Trust Company
04-23-02                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                              PAGE 74
FC3.3                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                            REMAINING    REMAINING
TYPE TXN DATE TXN NUMBER          QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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IAM  09-30-01     280139                                      0.00                                                                     AMORTIZATION
IAM  10-31-01     283311                                      0.00                                                                     AMORTIZATION
IAM  11-30-01     286243                                      0.00                                                                     AMORTIZATION
IAM  12-31-01     289472                                      0.00                                                                     AMORTIZATION
                               ---------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                             0.000                    0.00          0.00            0.00          0.00          0         0.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     SAW1   OH.5D1209  Hamilton Cty tax 5.5% 12/01/09  1,000,000.000 PAR      105.166  1,051,660.00    106.669 12-31-01    1,066,690.00      15,030.00

SAW1  OH.60810  State Infrastructure 6% 08/10
PUR  01-22-01     249585           750,000.000    114.807   858,802.50                                                750,000   858,802.50 State Infrastructure 6% 08/10
IAM  01-31-01     250704                                      0.00                                                                     AMORTIZATION
IAM  02-28-01     256454                                      0.00                                                                     AMORTIZATION
IAM  03-31-01     261761                                      0.00                                                                     AMORTIZATION
IAM  04-30-01     265277                                      0.00                                                                     AMORTIZATION
IAM  05-31-01     268294                                      0.00                                                                     AMORTIZATION
IAM  06-30-01     271926                                      0.00                                                                     AMORTIZATION
IAM  07-31-01     274480                                      0.00                                                                     AMORTIZATION
IAM  08-31-01     277024                                      0.00                                                                     AMORTIZATION
IAM  09-30-01     280140                                      0.00                                                                     AMORTIZATION
IAM  10-31-01     283312                                      0.00                                                                     AMORTIZATION
IAM  11-30-01     286244                                      0.00                                                                     AMORTIZATION
IAM  12-31-01     289473                                      0.00                                                                     AMORTIZATION
                               ---------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                       750,000.000              858,802.50          0.00            0.00          0.00    750,000   858,802.50

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE          COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
     SAW1   OH.60810   State Infrastructure 6% 08/10     750,000.000 PAR      114.507    858,802.5[illegible]    111.424 12-31-01      835,680.00     -23,121.[illegible]

SAW1  OR.480609  Portland OR LTD Tx 4.2% 6/1/09
SAL  08-31-01     268092           -50,000.000    100.000                   50,000.00      -49,500.00        500.00                        Portland Lib tax 4.2% 06/01/09
SAL  11-30-01     286145           -80,000.000    100.000                   80,000.00      -79,200.00        800.00                        City of Portland 4.2% 6/1/09
                               ---------------            ------------ ------------- --------------- -------------  ---------  -----------
     TOTAL -                      -130,000.000                    0.00    130,000.00     -128,700.00      1,300.00          0         0.00
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                                                                    Market Street Trust Company
04-23-02                                                     PURCHASE / SALE DETAIL HISTORY REPORT                                                       PAGE 75
FC3.3                                                        BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM     AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAW1   OR.4B0609  Portland OR LTD Tx 4.2% 6/1/09     20,000.000 PAR      99.000     19,800.00   100.418  12-31-01     20,083.60          283.60

SAW1   OR.5D0605  Multnomah Cty OR 5.5% 06/01/05
IAM   01-31-01      250708                                   0.00                                                                       AMORTIZATION
IAM   02-28-01      255455                                   0.00                                                                       AMORTIZATION
IAM   03-31-01      261762                                   0.00                                                                       AMORTIZATION
IAM   04-30-01      265278                                   0.00                                                                       AMORTIZATION
IAM   05-31-01      268195                                   0.00                                                                       AMORTIZATION
IAM   06-30-01      271925                                   0.00                                                                       AMORTIZATION
IAM   07-31-01      274489                                   0.00                                                                       AMORTIZATION
IAM   08-31-01      277025                                   0.00                                                                       AMORTIZATION
IAM   09-30-01      280141                                   0.00                                                                       AMORTIZATION
IAM   10-31-01      283313                                   0.00                                                                       AMORTIZATION
IAM   11-30-01      286245                                   0.00                                                                       AMORTIZATION
IAM   12-31-01      289474                                   0.00                                                                       AMORTIZATION
                              --------------             ------------  ------------- --------------- ------------- ----------  ------------
      TOTAL -                          0.000                     0.00           0.00            0.00          0.00          0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM     AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAW1   OR.5D0605  Multnomah Cty OR 5.5% 06/01/05    820,000.000 PAR     102.297    838,835.40   106.967  12-31-01    877,129.40       38,294.00

SAW1   PA.5G0703  Geisinger PA Health Systems
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM     AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAW1   PA.5G0703  Geisinger PA Health Systems       525,000.000 PAR     100.077    525,404.25   104.043  12-31-01    546,225.75       20,821.50

SAW1   PA.5G0703X Geisinger PA 5.8% 7/1/03 Escr
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM     AVERAGE          COST     PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAW1   PA.5G0703X Geisinger PA 5.8% 7/1/03 Escr     475,000.000 PAR     100.077    475,365.75   105.164  12-31-01    499,529.00       24,163.25

SAW1   RI.5B1004  Rhode Island H&H  5.35% 10/04
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                                                                                   Market Street Trust Company
04-23-02                                                                  PURCHASE / SALE DETAIL HISTORY REPORT                                                              PAGE 76
PC3.3                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -                                                                                      REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM        AVERAGE          COST        PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      SAN1   RI.5B1004  Rhode Island H&M  5.35% 10/04   500,000.000 PAR         99.200    496,000.00     103.591  12-31-01      517,955.00        21,955.00

SAN1   SC.50805   Charleston Cty SC 5% 8/15/05
IAM   01-31-01       250706                                   0.00                                                                         AMORTIZATION
IAM   02-28-01       255456                                   0.00                                                                         AMORTIZATION
IAM   03-31-01       261763                                   0.00                                                                         AMORTIZATION
IAM   04-30-01       265279                                   0.00                                                                         AMORTIZATION
IAM   05-31-01       268196                                   0.00                                                                         AMORTIZATION
IAM   06-30-01       271926                                   0.00                                                                         AMORTIZATION
IAM . 07-31-01       274490                                   0.00                                                                         AMORTIZATION
IAM   08-31-01       277026                                   0.00                                                                         AMORTIZATION
IAM   09-30-01       280142                                   0.00                                                                         AMORTIZATION
IAM   10-31-01       283314                                   0.00                                                                         AMORTIZATION
IAM   11-30-01       286246                                   0.00                                                                         AMORTIZATION
IAM   12-31-01       289475                                   0.00                                                                         AMORTIZATION
                             ----------------            ------------ ------------- --------------- -------------  ---------  -----------
      TOTAL -                           0.000                    0.00          0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM        AVERAGE          COST        PRICE    DATE     MARKET VALUE   UNREALIZED G/L
      SAN1   SC.50805   Charleston Cty SC 5% 8/15/05    785,000.000 PAR        105.123    825,215.55     105.325  12-31-01      826,801.25         1,586.70

SAN1   SC.5B1008  SC Trans  5.25% 10/01/08
SAL   02-28-01       252223      -500,000.000   107.023                  535,115.00     -513,515.00     21,600.00                          SC Trans Infra 5.25% 10/1/08
SAL   05-03-01       266245      -300,000.000   106.218                  318,654.00     -308,109.00     10,545.00                          SOUTH CAROLINA TRANSPORTATION INFRASTRUCTURE BANK REV 5 1/4% A OCT 1 2008 DTD 7/
                             ----------------            ------------ ------------- --------------- -------------  ---------  -----------
      TOTAL -                    -800,000.000                    0.00    853,769.00     -821,624.00     32,145.00          0         0.00

SAN1   SC.61208   Charleston CTY SC 6% 12/01/08
IAM   01-31-01       250707                                   0.00                                                                         AMORTIZATION
IAM   02-28-01       255457                                   0.00                                                                         AMORTIZATION
IAM   03-31-01       261764                                   0.00                                                                         AMORTIZATION
IAM   04-30-01       265280                                   0.00                                                                         AMORTIZATION
IAM   05-31-01       268197                                   0.00                                                                         AMORTIZATION
IAM   06-30-01       271927                                   0.00                                                                         AMORTIZATION
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                                                                  Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 77
FC1.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT'DESCRIPTION--                                                                                  REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY  COST BASIS DESCRIPTION
----  -------- ----------     -------------- ------------ ------------ ------------- --------------- ------------- ----------- ----------- -------------
IAM   07-31-01     274491                                         0.00                                                                   AMORTIZATION
IAM   08-31-01     277027                                         0.00                                                                   AMORTIZATION
IAM   09-30-01     280143                                         0.00                                                                   AMORTIZATION
IAM   10-31-01     283315                                         0.00                                                                   AMORTIZATION
IAM   11-30-01     286247                                         0.00                                                                   AMORTIZATION
IAM   12-31-01     289476                                         0.00                                                                   AMORTIZATION
                              --------------              ------------ ------------- --------------- ------------- ----------- -----------
      TOTAL -                          0.000                      0.00          0.00            0.00          0.00           0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM        AVERAGE            COST       PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   SC.61208   Charleston CTY SC 6% 12/01/08    600,000.000 PAR       106.284      637,704.00     110.631 12-31-01       663,786.00       26,082.00

SAW1   TN.6C0703  TN Hsg Dev 6.4% 07/01/06
IAM   01-31-01     250708                                         0.00                                                                   AMORTIZATION
IAM   02-28-01     255458                                         0.00                                                                   AMORTIZATION
IAM   03-31-01     261765                                         0.00                                                                   AMORTIZATION
IAM   04-30-01     265281                                         0.00                                                                   AMORTIZATION
IAM   05-31-01     266198                                         0.00                                                                   AMORTIZATION
IAM   06-30-01     271926                                         0.00                                                                   AMORTIZATION
IAM   07-31-01     274492                                         0.00                                                                   AMORTIZATION
IAM   08-31-01     277028                                         0.00                                                                   AMORTIZATION
IAM   09-30-01     280144                                         0.00                                                                   AMORTIZATION
IAM   10-31-01     283316                                         0.00                                                                   AMORTIZATION
IAM   11-30-01     286248                                         0.00                                                                   AMORTIZATION
IAM   12-31-01     289477                                         0.00                                                                   AMORTIZATION
                              --------------              ------------ ------------- --------------- ------------- ----------- -----------
      TOTAL -                          0.000                      0.00          0.00            0.00          0.00           0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM        AVERAGE            COST       PRICE    DATE      MARKET VALUE  UNREALIZED G/L
      SAW1   TN.6C0703  TN Hsg Dev 6.4% 07/01/06       1,000,000.000 PAR       104.200    1,042,000.00     101.864 12-31-01     1,018,640.00      -23,360.00

SAW1   TX.50805   Waxahachie TX Isd 5.0% 8/15/0
SAL   01-04-01     249026           -400,000.000      103.517                  414,068.00     -410,328.00      3,740.00                           Waxahachie Schl 5% 08/15/03
                              --------------              ------------ ------------- --------------- ------------- ----------- -----------
      TOTAL -                   -400,000.000                      0.00    414,068.00     -410,328.00      3,740.00           0        0.00
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                                                                               Market Street Trust Company
04-23-02                                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                                          PAGE 78
FC3.3                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION --                                                                                        REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS       QUANTITY    COST BASIS DESCRIPTION
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SAW1   TX.5D0206  Ft Wth TX Wtr&Swr 5.5% 8/15/06
IAM   01-31-01      250709                                     0.00                                                                          AMORTIZATION
IAM   01-31-01      250710                                     0.00                                                                          AMORTIZATION
IAM   02-28-01      255459                                     0.00                                                                          AMORTIZATION
IAM   02-28-01      255460                                     0.00                                                                          AMORTIZATION
SAL   03-05-01      256982       -500,000.000     106.848                534,240.00     -524,995.00      9,245.00                             CITY OF FT WORTH TEX WTR & SWR REV REF & IMP 5 1/2% AUG 15 2006 DTD 11/1/97 HELI
IAM   03-31-01      261766                                     0.00                                                                          AMORTIZATION
IAM   03-31-01      261767                                     0.00                                                                          AMORTIZATION
IAM   04-30-01      265282                                     0.00                                                                          AMORTIZATION
IAM   04-30-01      265283                                     0.00                                                                          AMORTIZATION
IAM   05-31-01      268199                                     0.00                                                                          AMORTIZATION
IAM   05-31-01      268200                                     0.00                                                                          AMORTIZATION
IAM   06-30-01      271929                                     0.00                                                                          AMORTIZATION
IAM   06-30-01      271930                                     0.00                                                                          AMORTIZATION
IAM   07-31-01      274493                                     0.00                                                                          AMORTIZATION
IAM   07-31-01      274494                                     0.00                                                                          AMORTIZATION
IAM   08-31-01      277029                                     0.00                                                                          AMORTIZATION
IAM   08-31-01      277030                                     0.00                                                                          AMORTIZATION
IAM   09-30-01      280145                                     0.00                                                                          AMORTIZATION
IAM   09-30-01      280146                                     0.00                                                                          AMORTIZATION
IAM   10-31-01      283317                                     0.00                                                                          AMORTIZATION
IAM   10-31-01      283318                                     0.00                                                                          AMORTIZATION
IAM   11-30-01      286249                                     0.00                                                                          AMORTIZATION
IAM   11-30-01      286250                                     0.00                                                                          AMORTIZATION
IAM   12-31-01      289478                                     0.00                                                                          AMORTIZATION
IAM   12-31-01      289479                                     0.00                                                                          AMORTIZATION
                              ----------------             -----------  ------------- --------------- ------------- -------------- ------------
      TOTAL -                    -500,000.000                  0.00     534,240.00     -524,995.00      9,245.00              0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM       AVERAGE         COST     PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      SAW1   TX.5D0206  Ft Wth TX Wtr&Swr 5.5% 8/15/06   500,001.000 PAR      105.037   525,185.00   106.524 12-31-01     532,621.07        7,436.07

SAW1   TX.5D0207  Donna TX Ind Schl 5.5% 2/15/07
IAM   01-31-01      250711                                     0.00                                                                          AMORTIZATION
IAM   02-28-01      255461                                     0.00                                                                          AMORTIZATION
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                                                                           Market Street Trust Company
04-23-02                                                               PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 79
FC3.3                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION- -                                                                                 REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS DESCRIPTION
----  -------- ----------   --------------  ---------  ------------ ------------- --------------- ------------- ---------- ------------ -----------
IAM   03-31-01     261768                                     0.00                                                                      AMORTIZATION
IAM   04-30-01     265284                                     0.00                                                                      AMORTIZATION
SAL   05-03-01     266246   -1,035,000.000    106.594               1,103,247.90   -1,099,439.10      3,808.80                          DONNA INDEPENDENT SCHOOL DISTRICT TRX UNLIMITED TAX PERMANENT SCH FUNDGTD 5 1/2%
                            --------------               ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -               -1,035,000.000                        0.00  1,103,247.90   -1,099,439.10      3,808.80          0         0.00

SAM1  TX.5D0808  Univ. of Texas 5.5% 08/15/08
PUR   09-07-01     280010    1,000,000.000    109.808   1,098,080.00                                                1,000,000 1,098,080.00 Univ. of Texas 5.5% 08/15/08
IAM   10-31-01     283319                                     0.00                                                                      AMORTIZATION
IAM   11-30-01     286261                                     0.00                                                                      AMORTIZATION
IAM   12-31-01     289480                                     0.00                                                                      AMORTIZATION
                            --------------               ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -                1,000,000.000              1,098,080.00          0.00            0.00          0.00  1,000,000 1,098,080.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST     PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      SAM1   TX.5D0808  Univ. of Texas 5.5% 08/15/08  1,000,000.000 PAR     109.808  1,098,080.00   107.131 12-31-01   1,071,310.00      -26,770.00

SAM1  TX.5P1202  TX Health Facility 5.70%
SAL   03-29-01     269250   -1,000,000.000    101.453               1,014,530.00   -1,013,890.00        640.00                          Cook Med Ctr TX 5.7% 12/01/01
                            --------------               ------------ ------------- --------------- ------------- ---------- ------------
      TOTAL -               -1,000,000.000                        0.00  1,014,530.00   -1,013,890.00        640.00          0         0.00

SAM1  TX.60204   TX Schl Pd LTD 6.000% 02/01/04
IAM   01-31-01     250712                                     0.00                                                                      AMORTIZATION
IAM   02-28-01     255462                                     0.00                                                                      AMORTIZATION
IAM   03-31-01     261769                                     0.00                                                                      AMORTIZATION
IAM   04-30-01     265285                                     0.00                                                                      AMORTIZATION
IAM   05-31-01     268201                                     0.00                                                                      AMORTIZATION
IAM   06-30-01     271931                                     0.00                                                                      AMORTIZATION
IAM   07-31-01     274495                                     0.00                                                                      AMORTIZATION
IAM   08-31-01     277031                                     0.00                                                                      AMORTIZATION
IAM   09-30-01     280147                                     0.00                                                                      AMORTIZATION
IAM   10-31-01     283320                                     0.00                                                                      AMORTIZATION
IAM   11-30-01     286252                                     0.00                                                                      AMORTIZATION
IAM   12-31-01     289481                                     0.00                                                                      AMORTIZATION
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                                                              Market Street Trust Company
04-23-02                                                   PURCHASE / SALE DETAIL HISTORY REPORT                                                                        PAGE 80
FC3.1                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION--                                                                              REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -                          0.000                      0.00           0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM        AVERAGE            COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAN1   TX.60204   TX Schl Fd LTD 6.000% 02/01/04     420,000.000 PAR        107.623      452,016.60    105.802 12-31-01     444,368.40       -7,648.20

SAN1  TX.60210  McKinney Schl Bldg 6% 2/15/10
IAM   01-31-01      250713                                        0.00                                                                          AMORTIZATION
IAM   02-28-01      255463                                        0.00                                                                          AMORTIZATION
IAM   03-31-01      261770                                        0.00                                                                          AMORTIZATION
IAM   04-30-01      265286                                        0.00                                                                          AMORTIZATION
IAM   05-31-01      268202                                        0.00                                                                          AMORTIZATION
IAM   06-30-01      271932                                        0.00                                                                          AMORTIZATION
IAM   07-31-01      274496                                        0.00                                                                          AMORTIZATION
IAM   08-31-01      277032                                        0.00                                                                          AMORTIZATION
IAM   09-30-01      280148                                        0.00                                                                          AMORTIZATION
IAM   10-31-01      283121                                        0.00                                                                          AMORTIZATION
IAM   11-30-01      286253                                        0.00                                                                          AMORTIZATION
IAM   12-31-01      289402                                        0.00                                                                          AMORTIZATION
                               -------------              ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                          0.000                      0.00           0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM        AVERAGE            COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      SAN1   TX.60210   McKinney Schl Bldg 6% 2/15/10    1,000,000.000 PAR        107.397    1,073,970.00    110.043 12-31-01   1,100,430.00       26,460.00

SAN1   TX.60501A  TX HFDHC- Escrowed to maturity
SAL   05-16-01      266258                -45,000.000    100.000                     45,000.00      -45,945.00       -945.00                            NORTH CENTRAL HEALTH FACILITY DEVELOPMENT CORP TEX REV HOSP BAYLORHEALTH CARE SY
                               -------------              ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                    -45,000.000                      0.00      45,000.00      -45,945.00       -945.00          0         0.00

SAN1   TX.60501B  TX HFDC Hlth 6% 5/15/01-Bk Ent
SAL   05-16-01      266259               -455,000.000    100.000                    455,000.00     -464,555.00     -9,555.00                            NORTH CENTRAL HEALTH FACILITY DEVELOPMENT CORP TEX HOSP REV BAYLORHEALTH CARE SY
                               -------------              ------------  ------------- --------------- -------------  ---------  -----------
      TOTAL -                   -455,000.000                      0.00     455,000.00     -464,555.00     -9,555.00          0         0.00

SAN1   TX.6A0205  LaPrte TX ISD 6.25% 02/15/05
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
IAM	01-31-01	250714			0.00						AMORTIZATION
IAM	02-28-01	255464			0.00						AMORTIZATION
IAM	03-31-01	261771			0.00						AMORTIZATION
IAM	04-30-01	265287			0.00						AMORTIZATION
IAM	05-31-01	268203			0.00						AMORTIZATION
IAM	06-30-01	271933			0.00						AMORTIZATION
IAM	07-31-01	274497			0.00						AMORTIZATION
IAM	08-31-01	277033			0.00						AMORTIZATION
IAM	09-30-01	280149			0.00						AMORTIZATION
IAM	10-31-01	283322			0.00						AMORTIZATION
IAM	11-30-01	286254			0.00						AMORTIZATION
IAM	12-31-01	289483			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
SAW1	TX.6A0205	LaPrte TX ISD 6.25% 02/15/05	450,000.000	PAR	110.925	499,162.50	108.134	12-31-01	486,603.00	-12,559.50

SAW1 TX.6P0806 Brwnvle Sch Dist 6.75% 8/15/06

IAM	01-31-01	250715			0.00						AMORTIZATION
IAM	02-28-01	255465			0.00						AMORTIZATION
IAM	03-31-01	261772			0.00						AMORTIZATION
IAM	04-30-01	265288			0.00						AMORTIZATION
IAM	05-31-01	268204			0.00						AMORTIZATION
IAM	06-30-01	271934			0.00						AMORTIZATION
IAM	07-31-01	274498			0.00						AMORTIZATION
IAM	08-31-01	277034			0.00						AMORTIZATION
IAM	09-30-01	280150			0.00						AMORTIZATION
IAM	10-31-01	283323			0.00						AMORTIZATION
IAM	11-30-01	286255			0.00						AMORTIZATION
IAM	12-31-01	289484			0.00						AMORTIZATION
	TOTAL -		0.000		0.00	0.00	0.00	0.00	0	0.00	

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                                                                Market Street Trust Company
04-23-02                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                                PAGE 02
PC3.3                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -                                                                        REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY     COST BASIS DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST       PRICE   DATE        MARKET VALUE  UNREALIZED G/L
     SAW1   TX.6F0806  Brwnvle Sch Dist 6.75% 8/16/06     785,000.000 PAR       115.203     904,343.55    112.607 12-31-01     883,964.95      -20,378 60

SAW1  TX.70806  Austin Indep. Schl Tx 7% 08/06
IAM   01-31-01     250716                                     0.00                                                                       AMORTIZATION
IAM   02-28-01     255466                                     0.00                                                                       AMORTIZATION
IAM   03-31-01     261773                                     0.00                                                                       AMORTIZATION
PUR   04-19-01     263790          50,000.000    112.432  56.216.00                                                  50,000    56,216.00 Austin Indep. Schl 7% 08/1/06
IAM   04-30-01     265289                                     0.00                                                                       AMORTIZATION
IAM   04-30-01     265290                                     0.00                                                                       AMORTIZATION
IAM   05-31-01     268205                                     0.00                                                                       AMORTIZATION
IAM   05-31-01     268206                                     0.00                                                                       AMORTIZATION
IAM   06-30-01     271935                                     0.00                                                                       AMORTIZATION
IAM   06-30-01     271936                                     0.00                                                                       AMORTIZATION
IAM   07-31-01     274499                                     0.00                                                                       AMORTIZATION
IAM   07-31-01     274500                                     0.00                                                                       AMORTIZATION
IAM   08-31-01     277035                                     0.00                                                                       AMORTIZATION
IAM   08-31-01     277036                                     0.00.                                                                      AMORTIZATION
IAM   09-30-01     280151                                     0.00                                                                       AMORTIZATION
IAM   09-30-01     280152                                     0.00                                                                       AMORTIZATION
IAM   10-31-01     283324                                     0.00                                                                       AMORTIZATION
IAM   10-31-01     283325                                     0.00                                                                       AMORTIZATION
IAM   11-30-01     286256                                     0.00                                                                       AMORTIZATION
IAM   11-30-01     286257                                     0.00                                                                       AMORTIZATION
IAM   12-31-01     289486                                     0.00                                                                       AMORTIZATION
IAM   12-31-01     289486                                     0.00                                                                       AMORTIZATION
                              -------------            ------------ ------------- --------------- ------------- ------------ ------------
     TOTAL -                     50,000.000               56,216.00          0.00            0.00          0.00       50,000    56,216.00

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM        AVERAGE           COST       PRICE   DATE        MARKET VALUE  UNREALIZED G/L
     SAW1   TX.70806   Austin Indep. Schl Tx 7% 08/06     850,000.000 PAR       110.051     935,432.00    113.553 12-31-01     955,200.50       19,768.50

SAW1  VA.50108  Hampton VA 5% 01/15/08
IAM   01-31-01     250717                                     0.00                                                                       AMORTIZATION
IAM   02-28-01     255467                                     0.00                                                                       AMORTIZATION
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04-23-02                                                                     Market Street Trust Company
FC3.3                                                                  PURCHASE / SALE DETAIL HISTORY REPORT
                                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION --                                                                                            REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS    QUANTITY   COST BASIS DESCRIPTION
----  -------- ----------  ---------------- -------- ----------- ------------- --------------- ------------- ----------- ----------- -----------
IAM   03-31-01     261774                                   0.00                                                                     AMORTIZATION
IAM   04-30-01     265291                                   0.00                                                                     AMORTIZATION
IAM   05-31-01     268207                                   0.00                                                                     AMORTIZATION
IAM   06-30-01     271937                                   0.00                                                                     AMORTIZATION
IAM   07-31-01     274501                                   0.00                                                                     AMORTIZATION
IAM   08-31-01     277037                                   0.00                                                                     AMORTIZATION
IAM   09-30-01     280153                                   0.00                                                                     AMORTIZATION
IAM   10-31-01     283126                                   0.00                                                                     AMORTIZATION
IAM   11-30-01     286258                                   0.00                                                                     AMORTIZATION
IAM   12-31-01     289487                                   0.00                                                                     AMORTIZATION
                           ----------------          ----------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                         0.000                 0.00          0.00            0.00          0.00           0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM     AVERAGE          COST      PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      SAN1   VA.50108   Hampton VA 5% 01/15/08          640,000.000 PAR   106.083    678,931.20    104.694  12-31-01    670,041.60       -8,889.60

SAN1  VA.60807  Virginia Public Bldg 6% 8/1/07
IAM   01-31-01     250718                                   0.00                                                                     AMORTIZATION
IAM   02-28-01     255468                                   0.00                                                                     AMORTIZATION
IAM   03-31-01     261775                                   0.00                                                                     AMORTIZATION
IAM   04-30-01     265292                                   0.00                                                                     AMORTIZATION
IAM   05-31-01     268208                                   0.00                                                                     AMORTIZATION
IAM   06-30-01     271938                                   0.00                                                                     AMORTIZATION
IAM   07-31-01     274502                                   0.00                                                                     AMORTIZATION
IAM   08-31-01     277038                                   0.00                                                                     AMORTIZATION
IAM   09-30-01     280154                                   0.00                                                                     AMORTIZATION
IAM   10-31-01     283127                                   0.00                                                                     AMORTIZATION
IAM   11-30-01     286259                                   0.00                                                                     AMORTIZATION
IAM   12-31-01     289488                                   0.00                                                                     AMORTIZATION
                           ----------------          ----------- ------------- --------------- ------------- ----------- -----------
      TOTAL -                         0.000                 0.00          0.00            0.00          0.00           0        0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM     AVERAGE          COST      PRICE    DATE       MARKET VALUE  UNREALIZED G/L
      SAN1   VA.60807   Virginia Public Bldg 6% 8/1/07  500,000.000 PAR   104.726    523,630.00    110.040  12-31-01    550,200.00       26,570.00
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Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION... TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	NET GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAW1	VA.6C0501	VA Hsg Dev 6.45% 05/01/01									
IAM	01-31-01	250719			0.00						AMORTIZATION
IAM	02-28-01	255469			0.00						AMORTIZATION
IAM	03-31-01	261776			0.00						AMORTIZATION
IAM	04-30-01	265293			0.00						AMORTIZATION
SAL	05-16-01	266260	-250,000.000	100.000		250,000.00	-261,035.00	-11,035.00			VIRGINIA HOUSING DEVELOPMENT AUTH MULTIFAMILY HSG REV REF 6.45% F MAY 1 2001 DTE
	TOTAL -		-250,000.000		0.00	250,000.00	-261,035.00	-11,035.00	0	0.00	
SAW1	VA.6C0705	VA Hsg Dev Auth 6.3% 7/1/05									
IAM	01-31-01	250720			0.00						AMORTIZATION
IAM	02-28-01	255470			0.00						AMORTIZATION
IAM	03-31-01	261777			0.00						AMORTIZATION
IAM	04-30-01	265294			0.00						AMORTIZATION
IAM	05-31-01	268209			0.00						AMORTIZATION
IAM	06-30-01	271939			0.00						AMORTIZATION
IAM	07-31-01	274503			0.00						AMORTIZATION
SAL	08-31-01	276923	-150,000.000	100.000		150,000.00	-157,200.00	-7,200.00			VA HDA MTGE 6.30% 07/01/05
IAM	08-31-01	277039			0.00						AMORTIZATION
IAM	09-30-01	280155			0.00						AMORTIZATION
IAM	10-31-01	283328			0.00						AMORTIZATION
IAM	11-30-01	286260			0.00						AMORTIZATION
IAM	12-31-01	289489			0.00						AMORTIZATION
	TOTAL -		-150,000.000		0.00	150,000.00	-157,200.00	-7,200.00	0	0.00	
SAW1	VA.6D0504	VA Hsg Dev 6.9% 05-01-04									
IAM	01-31-01	250721			0.00						AMORTIZATION
IAM	02-28-01	255471			0.00						AMORTIZATION
IAM	03-31-01	261778			0.00						AMORTIZATION
IAM	04-30-01	265295			0.00						AMORTIZATION
IAM	05-31-01	268210			0.00						AMORTIZATION
IAM	06-30-01	271940			0.00						AMORTIZATION
IAM	07-31-01	274504			0.00						AMORTIZATION
IAM	08-31-01	277040			0.00						AMORTIZATION
IAM	09-30-01	280156			0.00						AMORTIZATION
IAM	10-31-01	283329			0.00						AMORTIZATION

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                                                                    Market Street Trust Company
04-23-02                                                    PURCHASE / SALE DETAIL HISTORY REPORT                                                          PAGE 65
FC1.3                                                       BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -                                                                           REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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IAM   11-30-01     286261                                     0.00                                                                     AMORTIZATION
IAM   12-31-01     289490                                     0.00                                                                     AMORTIZATION
                               ------------           ------------ ------------- --------------- ------------- ----------  -----------
      TOTAL -                         0.000                   0.00          0.00            0.00          0.00          0         0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE          COST        PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      SAN1   VA.6D0504  VA Hsg Dev 6.5% 05-01-06     1,000,000.000 PAR      104.766  1,047,650.00      102.784 12-31-01  1,027,840.00      -19,810.00

SAN1  WA.60107   WA Mtr Veh Fuel Tx 6% 01/01/07
IAM   01-31-01     260722                                     0.00                                                                     AMORTIZATION
IAM   02-28-01     255472                                     0.00                                                                     AMORTIZATION
IAM   03-31-01     261779                                     0.00                                                                     AMORTIZATION
IAM   04-30-01     265294                                     0.00                                                                     AMORTIZATION
IAM   05-31-01     268211                                     0.00                                                                     AMORTIZATION
IAM   06-30-01     271941                                     0.00                                                                     AMORTIZATION
IAM   07-31-01     274505                                     0.00                                                                     AMORTIZATION
IAM   08-31-01     277041                                     0.00                                                                     AMORTIZATION
IAM   09-30-01     280157                                     0.00                                                                     AMORTIZATION
SAL   10-01-01     281174       -500,000.000  111.117                555,585.00     -543,580.00     12,005.00                          STATE OF WASHINGTON MOTOR VEHICAL FUEL TAX BOND 6% B JAN 1 2007 DTD 12/1/97 HELC
                               ------------           ------------ ------------- --------------- ------------- ----------  -----------
      TOTAL -                  -500,000.000                   0.00    555,585.00     -543,580.00     12,005.00          0         0.00

SAN1  WA.7A1208  King CTY Schl 7.25% 12/01/08
PUR   03-01-01     256994        200,000.000  118.973   237,946.00                                              200.000   237,946.00  King CTY Schl 7.25% 12/01/08
IAM   03-31-01     261780                                     0.00                                                                     AMORTIZATION
IAM   04-30-01     265297                                     0.00                                                                     AMORTIZATION
IAM   05-31-01     268212                                     0.00                                                                     AMORTIZATION
IAM   06-30-01     271942                                     0.00                                                                     AMORTIZATION
IAM   07-31-01     274506                                     0.00                                                                     AMORTIZATION
IAM   08-31-01     277042                                     0.00                                                                     AMORTIZATION
IAM   09-30-01     280158                                     0.00                                                                     AMORTIZATION
IAM   10-31-01     283330                                     0.00                                                                     AMORTIZATION
IAM   11-30-01     286262                                     0.00                                                                     AMORTIZATION
IAM   12-31-01     289491                                     0.00                                                                     AMORTIZATION
                               ------------           ------------ ------------- --------------- ------------- ----------  -----------
      TOTAL -                   200,000.000             237,946.00          0.00            0.00          0.00    200,000   237,946.00
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                                                                                                       Market Street Trust Company
04-23-02                                                                                         PURCHASE / SALE DETAIL HISTORY REPORT                                                            PAGE 86
PCI.3                                                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                                                 REMAINING      REMAINING
TYPE TXN DATE TXN NUMBER                QUANTITY       PRICE      COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS        QUANTITY     COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE             COST        PRICE    DATE       MARKET VALUE   UNREALIZED G/L
      SAM1   WA.7A1208  King CTY Schl 7.25% 12/01/08             200,000.000 PAR        118.973       237,946.00      117.128  12-31-01       234,356.00        -3,590.00

                                                              -------------- -------------- --------------- -------------   ------------- --------------
  REPORT TOTAL -                                               80,987,670.97 125,399,828.18 -124,322,000.09  1,077,828.09      24,113,098 25,629,677.14
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04-23-02                                                             Market Street Trust Company
FC3.3                                                          PURCHASE / SALE DETAIL HISTORY REPORT
                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

SELECTION: WITH INV
SORT OPTION: BY ENTITY, INV

ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY     COST BASIS  DESCRIPTION

ARMSTR AHP      American Home Products Corp
PUR   12-04-01   287210            4,500.000     59.760    269,190.00                                                 4,500     269,190.00  American Home Products

      TOTAL -                      4,500.000               269,190.00        0.00           0.00          0.00        4,500     269,190.00

ARMSTR ALL      ALLSTATE Corp Del
PUR   11-28-01   285253           34,300.000     33.811  1,161,789.02                                                34,300   1,161,789.02  AllState Corp @33.8114

      TOTAL -                     34,300.000             1,161,789.02        0.00           0.00          0.00       34,300   1,161,789.02

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST       PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR ALL       ALLSTATE Corp Del            34,300.000 SHRS      33.871   1,161,789.02      33.700  12-31-01   1,155,910.00       -5,879.02

ARMSTR ARW      Arrow Electronics Inc
PUR   02-27-01   262250           38,800.000     27.050  1,051,848.60                                                     0           0.00  Arrow Electronics @27.049500
PUR   07-13-01   273101            6,000.000     24.183    145,459.80                                                     0           0.00  Arrow Electronics
SAL   08-16-01   275926          -15,850.000     26.517                 419,334.20    -429,685.58    -10,351.38                             Arrow Electronics @26.8173
SAL   08-17-01   275927          -28,950.000     25.854                 746,708.46    -767,622.82    -20,914.36                             Arrow Electronics @25.8639

      TOTAL -                          0.000             1,197,308.40 1,166,042.66  -1,197,308.40    -31,265.74            0           0.00

ARMSTR AV       Avaya Inc
PUR   05-29-01   267452           85,000.000     16.670  1,422,007.50                                                 4,600      76,955.70  Avaya Inc @16.6685
PUR   06-19-01   270551           42,000.000     11.600    489,720.00                                                42,000     489,720.00  Avaya Inc @11.60
PUR   06-21-01   270552           40,000.000     11.789    473,952.00                                                40,000     473,952.00  Avaya Inc @11.7888
PUR   10-02-01   280999            9,500.000      9.930     94,905.00                                                 9,500      94,905.00  Avaya Inc
SAL   11-13-01   284750          -59,200.000      9.502                 558,918.05    -990,386.40   -431,468.35                             Avaya Inc @9.6015
SAL   12-20-01   288217          -21,200.000     12.380                 261,175.25    -354,665.40    -93,490.15                             Avaya Inc @12.38

      TOTAL -                     96,100.000             2,480,584.60   820,093.30  -1,345,051.80   -524,958.50       96,100   1,135,532.70

ARMSTR AXP      American Express Company
PUR   09-26-01   279061           34,200.000     27.236    933,478.74                                                34,200     933,478.74  American Express Company
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                                                          Market Street Trust Company
04-23-02                                              PURCHASE / SALE DETAIL HISTORY REPORT
PC3.3                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                             REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
----  -------- ----------        ------------  -------- ------------- ------------- --------------- ------------- ----------  ------------ -----------
PUR   12-04-01     287217           2,200.000    32.950     72,622.00                                                 2,200     72,622.00 American Express Company
                                 ------------           ------------- ------------- --------------- ------------- ----------  ------------
      TOTAL -                      36,400.000            1,006,100.74          0.00            0.00          0.00     36,400  1,006,100.74

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ARMSTR AXP      American Express Company          36,400.000 SHRS      27.640   1,006,100.74     35.690  12-31-01   1,299,116.00      293,015.26

ARMSTR C2       Citigroup Inc
PUR   07-13-01     273102           6,300.000    49.120    309,834.00                                                 6,300    309,834.00 Citigroup Inc
PUR   10-02-01     281002           2,300.000    41.700     96,048.00                                                 2,300     96,048.00 Citigroup Inc
PUR   12-04-01     287220           1,600.000    47.390     75,920.00                                                 1,600     75,920.00 Citigroup Inc
                                 ------------           ------------- ------------- --------------- ------------- ----------  ------------
      TOTAL -                      10,200.000              481,802.00          0.00            0.00          0.00     10,200    481,802.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ARMSTR C2       Citigroup Inc                     43,666.000 SHRS      50.469   2,203,761.75     50.480  12-31-01   2,204,259.68          497.93

ARMSTR CB       Chubb Corp
PUR   02-08-01     251043          21,300.000    73.000  1,556,178.00                                                21,300  1,556,178.00 Chubb Corp @73.00
PUR   12-04-01     287218           4,200.000    68.389    287,487.06                                                 4,200    287,487.06 Chubb Corp
                                 ------------           ------------- ------------- --------------- ------------- ----------  ------------
      TOTAL -                      25,500.000            1,843,665.06          0.00            0.00          0.00     25,500  1,843,665.06

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                       QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ARMSTR CB       Chubb Corp                        25,500.000 SHRS      72.301   1,843,665.06     69.000  12-31-01   1,759,500.00      -84,165.06

ARMSTR CD       Cendant Corp
SAL   04-23-01     263829         -54,000.000    17.086                  919,351.64     -739,222.00    180,129.64                         Cendant Corp @17.0856
SAL   07-13-01     273111         -33,500.000    20.500                  684,717.10     -436,158.09    248,559.01                         Cendant Corp
PUR   10-02-01     281001          45,300.000    13.100    650,848.00                                                45,300    650,848.00 Cendant Corp
SAL   12-20-01     288218         -30,900.000    19.550                  602,220.86     -314,151.03    288,069.83                         Cendant Corp @19.55
                                 ------------           ------------- ------------- --------------- ------------- ----------  ------------
      TOTAL -                     -73,100.000              650,848.00  2,206,289.60   -1,489,531.12    716,758.48     45,300    650,848.00
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04-23-02                                                                   Market Street Trust Company
FC3.3                                                                 PURCHASE / SALE DETAIL HISTORY REPORT
                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -                                                                                 REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY     PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS - -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR CD        Cendant Corp                 107,700.000 SHRS      10.858  1,169,366.08     19.610  12-31-01   2,111,997.00      942,630.92

ARMSTR CMB       Chase Manhattan Corp
CNVFR 01-02-01    249156        -48,100.000   45.438                2,148,860.05   -2,148,860.05          0.00                             Chase Manhattan to JP Morgan
                                -----------               ------------ ------------- --------------- ------------- ---------- -------------
      TOTAL -                   -45,300.000                       0.00  2,148,860.05   -2,148,860.05          0.00          0          0.00

ARMSTR CMCSK     Comcast Corp Cl A Special
PUR   10-02-01    281003          4,800.000   36.191    174,004.80                                                     4,800    174,004.80  Comcast Corp
PUR   12-04-01    287221          3,800.000   38.836    147,774.02                                                     3,800    147,774.02  Comcast Corp SPL CL A
                                -----------               ------------ ------------- --------------- ------------- ---------- -------------
      TOTAL -                     8,600.000             321,778.82          0.00            0.00          0.00      8,600    321,778.82

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM      AVERAGE          COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR CMCSK     Comcast Corp Cl A Special     53,400.000 SHRS      34.395  1,836,694.16     36.000  12-31-01   1,922,400.00       85,705.84

ARMSTR CNI       Canadian National Railroad
PUR   01-17-01    269501         40,200.000   32.355  1,303,062.90                                                         0          0.00  Canadian National Railway
CNVFR 07-02-01    274360        -40,200.000   40.500                1,303,062.90   -1,303,062.90          0.00                             Convert CNI to foreign equity
PUR   10-02-01    281000          3,300.000   36.418    120,376.04                                                     3,300    120,376.04  Canadian National Railroad
                                -----------               ------------ ------------- --------------- ------------- ---------- -------------
      TOTAL -                     3,300.000           1,423,438.94  1,303,062.90   -1,303,062.90          0.00      3,300    120,376.04

ARMSTR CNI2      Canadian National Railroad
CNVTO 07-02-01    274360         40,200.000   32.415  1,303,062.90                                                    31,300  1,014,573.85  Convert CNI to foreign equity
SAL   07-13-01    274362         -8,900.000   43.753                  388,850.27     -288,489.05    100,361.22                             Canadian National Railroad
                                -----------               ------------ ------------- --------------- ------------- ---------- -------------
      TOTAL -                    31,300.000           1,303,062.90    388,850.27     -288,489.05    100,361.22     31,300  1,014,573.85

ARMSTR CPQ       Compaq Computer Corp
SAL   09-27-01    278052        -51,900.000    8.120                  418,299.95     -953,009.96   -534,710.01                             Compaq Computer Corp @8.12
                                -----------               ------------ ------------- --------------- ------------- ---------- -------------
      TOTAL -                   -51,900.000                       0.00    418,299.95     -953,009.96   -534,710.01          0          0.00
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                                                                            Market Street Trust Company
04-23-02                                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                               PAGE 6
FC3.3                                                                    BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION..                                                                        REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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ARMSTR CVS       CVS Corp
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM     AVERAGE            COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR CVS         CVS Corp                            43,600.000 SHRS     27.044    1,179,105.32     33.200 10-31-01           0.00   -1,179,105.32

ARMSTR DD        E I Dupont
PUR   10-02-01     281006          7,100.000    36.980    262,984.00                                                 7,100    262,984.00  Du Pont E I De Nemours
                             -------------           ------------- ------------- --------------- -------------  ----------- -------------
      TOTAL -                      7,100.000              262,984.00          0.00            0.00          0.00         7,100    262,984.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM     AVERAGE            COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR DD          E I Dupont                          39,900.000 SHRS     42.971    1,714,540.00     42.510 12-31-01   1,696,149.00      -18,391.00

ARMSTR DVN       Devon Energy Corp
PUR   02-05-01     251842         10,400.000    57.375    597,324.00                                                10,400    597,324.00  Devon Energy Corp @57.375
PUR   07-13-01     273103          4,500.000    51.620    232,560.00                                                 4,500    232,560.00  Devon Energy Corp New
PUR   10-02-01     281004         15,000.000    33.730    506,850.00                                                15,000    506,850.00  Devon Energy Corp
PUR   12-04-01     287222          5,500.000    34.137    188,081.85                                                 5,500    188,081.85  Devon Energy Corp
                             -------------           ------------- ------------- --------------- -------------  ----------- -------------
      TOTAL -                     35,400.000            1,524,815.85          0.00            0.00          0.00        35,400  1,524,815.85

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM     AVERAGE            COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR DVN         Devon Energy Corp                   58,600.000 SHRS     46.831    2,744,313.13     38.650 12-31-01   2,264,890.00     -479,423.13

ARMSTR EDS       Electronic Data Systems
SAL   02-04-01     251847        -13,400.000    62.150                  831,978.23     -640,654.00    191,324.23                             Electronic Data Systems Corp
                             -------------           ------------- ------------- --------------- -------------  ----------- -------------
      TOTAL -                    -13,400.000                    0.00    831,978.23     -640,654.00    191,324.23             0          0.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM     AVERAGE            COST      PRICE  DATE       MARKET VALUE  UNREALIZED G/L
      ARMSTR EDS         Electronic Data Systems             17,400.000 SHRS     50.607      880,569.20     68.550 12-31-01   1,192,770.00      312,200.80

ARMSTR EMR       Emerson Electric Co
PUR   07-13-01     273104         11,600.000    54.350    631,156.00                                                11,600    631,156.00  Emerson Electric Co.
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04-23-02                                                                Market Street Trust Company                                                          PAGE 5
FC3.3                                                             PURCHASE / SALE DETAIL HISTORY REPORT
                                                                  BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                        REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY       PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS  DESCRIPTION
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PUR   10-02-01     281007          2,600.000      46.400    120,796.00                                                  2,600    120,796.00  Emerson Electric Co
                                ------------              ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                     14,200.000                751,952.00          0.00            0.00          0.00      14,200    751,952.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR EMR       Emerson Electric Co                  37,800.000 SHRS       61.811    2,336,456.24    57.100  12-31-01    2,158,380.00     -178,076.24

ARMSTR EP          El Paso Corp
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR EP        El Paso Corp                         37,500.000 SHRS       43.967    1,648,777.50                                       -1,648,777.50

ARMSTR EXC         Exelon Corp
PUR   10-24-01     282509         25,700.000      41.206  1,060,502.79                                                 25,700  1,060,502.79  Exelon Corp @41.2047
PUR   12-20-01     288213         12,300.000      47.900    589,908.00                                                 12,300    589,908.00  Exelon Corp @47.90
                                ------------              ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                     38,000.000              1,650,410.79          0.00            0.00          0.00      38,000  1,650,410.79

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR EXC       Exelon Corp                          38,000.000 SHRS       43.432    1,650,410.79    47.880  12-31-01    1,819,440.00      169,029.21

ARMSTR FBF         Fleet Boston Financial Corp
PUR   04-06-01     263012         27,000,000      38.208  1,033,230.60                                                 27,000  1,033,230.60  Fleet Boston Financial Corp
PUR   12-06-01     287224          5,200.000      36.120    188,138.08                                                  5,200    188,138.08  Fleet Boston Financial Corp
                                ------------              ------------  ------------  --------------  ------------  ----------  ------------
      TOTAL -                     32,200.000              1,221,368.68          0.00            0.00          0.00      32,200  1,221,368.68

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM       AVERAGE            COST     PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR FBF       Fleet Boston Financial Corp          32,200.000 SHRS       37.931    1,221,368.68    36.500  12-31-01    1,175,300.00      -46,068.68

ARMSTR FDC         First Data
SAL   05-02-01     266286        -15,600.000      67.003                1,048,272.83     -756,768.00    287,504.83                            First Data Corp @67.0028
SAL   07-20-01     274100        -17,000.000      71.054                1,206,856.03     -815,745.00    391,111.03                            First Data Corp @71.0539
                                ------------              ------------  ------------  --------------  ------------  ----------  ------------
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04-23-02                                                                       Market Street Trust Company                                                   PAGE 6
PC1.3                                                                  PURCHASE / SALE DETAIL HISTORY REPORT
                                                                     BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                     -32,600.000                  0.00  2,251,128.86   -1,572,513.00    678,615.86           0          0.00

ARMSTR FON       Sprint Corp
PUR   06-07-01    268737           45,700.000    20.576    943,042.35                                                  45,700    943,042.35  Sprint Corp @20.5755
PUR   06-08-01    269687           11,100.000    20.600    229,320.45                                                  11,100    229,320.45  Sprint Corp @20.5995
PUR   06-11-01    269688           26,500.000    20.700    550,140.00                                                  26,500    550,140.00  Sprint Corp @20.70
                               --------------           ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                      83,300.000          1,722,502.80          0.00            0.00          0.00      83,300  1,722,502.80

ARMSTR FRE       Freddie Mac-Fed Home Ln Mort.
PUR   12-04-01    287223            5,300.000    65.690    348,157.00                                                   5,300    348,157.00  Federal Home Loan Mortgage
                               --------------           ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                       5,300.000            348,157.00          0.00            0.00          0.00       5,300    348,157.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM        AVERAGE            COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      ARMSTR FRE        Freddie Mac-Fed Home Ln Mort.    35,600.000 SHRS        46.301    1,648,317.82     65.400  12-31-01   2,328,240.00       679,922.18

ARMSTR GCI       Gannett
PUR   10-02-01    281008            2,500.000    58.190    145,625.00                                                   2,500    145,625.00  Gannett Company
SAL   11-06-01    284136          -17,600.000    64.995                1,142,817.86   -1,018,125.50    124,692.36                             Gannett Co @64.995
                               --------------           ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                     -15,100.000            145,625.00  1,142,817.86   -1,018,125.50    124,692.36       2,500    145,625.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                        QUANTITY UOM        AVERAGE            COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      ARMSTR GCI        Gannett                          16,600.000 SHRS        57.079      947,508.50     67.230  12-31-01   1,116,018.00       168,509.50

ARMSTR GM        General Motors
SAL   10-03-01    280998          -16,700.000    42.118                  702,346.82   -1,002,258.25   -299,911.43                             General Motors Corp @42.1181
SAL   10-03-01    280988          -14,800.000    42.118                  622,439.10     -767,644.92   -145,205.82                             General Motors Corp @42.1181
                               --------------           ------------- ------------- --------------- ------------- ----------- -------------
      TOTAL -                     -31,500.000                  0.00  1,324,785.92   -1,769,903.17   -445,117.25           0          0.00

ARMSTR HCA       HCA Inc
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04-23-02                                                         Market Street Trust Company
PC3.3                                                       PURCHASE / SALE DETAIL HISTORY REPORT
                                                           BOOK BASIS  -  FROM 01-01-01 TO 12-31-01                                      PAGE 7

ENTITY INVESTMENT DESCRIPTION
                                                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY   COST BASIS DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST         PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ARMSTR HCA        HCA Inc                  44,700.000 SHRS      43.823  1,958,897.04        37.410 01-31-01           0.00   -1,958,897.04

ARMSTR HON       Honeywell International Inc
SAL   01-22-01      249595      -33,200.000     48.000               1,591,554.88   -1,185,818.00    405,736.88                         Honeywell Int'l Inc @48.00
                                -------------             ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                   -33,200.000                      0.00 1,591,554.88   -1,185,818.00    405,736.88           0         0.00

ARMSTR IBM       Int'l Business Machines
PUR   07-13-01      273105       1,500.000    106.491   159,826.95                                                     1,500   159,826.95 Int'l Business Machines
PUR   10-02-01      281010         900.000     92.770    83,493.00                                                       900    83,493.00 International Business Machine
SAL   12-20-01      288219      -2,000.000    123.890                  247,651.74     -229,360.00     18,291.74                         International Business Machine
                                -------------             ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                       400.000             243,319.95     247,651.74     -229,360.00     18,291.74       2,400   243,319.95

ARMSTR IGI       Imagistics International Inc
CNVTO 12-06-01     289151.1         32.000     10.328       330.51                                                         0         0.00 Pitney-Bowes spinoff-Imagistic
CNVTO 12-06-01     289151.2        984.000     10.351    10,185.63                                                         0         0.00 Pitney-Bowes spinoff-Imagistic
CNVTO 12-06-01     289151.3        216.000     10.311     2,227.13                                                         0         0.00 Pitney-Bowes spinoff-Imagistic
CNVTO 12-06-01     289151.4      1,680.000      7.931    13,323.65                                                         0         0.00 Pitney-Bowes spinoff-Imagistic
CNVTO 12-06-01     289151.5      1,266.000      8.642    10,854.31                                                         0         0.00 Pitney-Bowes spinoff-Imagistic
CNVTO 12-06-01     289151.6         80.000     10.680       854.43                                                         0         0.00 Pitney-Bowes spinoff-Imagistic
SAL   12-13-01      289152      -2,912.000      9.851                   28,509.56      -26,066.82      2,442.74                         Imagistics International Inc
SAL   12-13-01      289153      -1,336.000      9.851                   13,079.93      -11,708.74      1,371.19                         Imagistics International Inc
                                -------------             ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                         0.000              37,775.56      41,589.49      -37,775.56      3,813.93           0         0.00

ARMSTR IMS       IMS Health Inc
PUR   10-02-01      281009       7,400.000     25.350   187,590.00                                                     7,400   187,590.00 IMS Health Inc
PUR   12-04-01      287228      20,500.000     20.818   426,771.05                                                    20,500   426,771.05 IMS Health Inc
                                -------------             ------------ ------------- --------------- -------------  ---------- ------------
      TOTAL -                    27,900.000             614,361.05           0.00            0.00          0.00      27,900   614,361.05

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                  QUANTITY UOM      AVERAGE          COST         PRICE   DATE      MARKET VALUE  UNREALIZED G/L
      ARMSTR IMS        IMS Health Inc           71,500.000 SHRS      20.494  1,465,349.21        19.510 12-31-01   1,394,965.00      -70,384.21
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                                                                        Market Street Trust Company
04-23-02                                                         PURCHASE / SALE DETAIL HISTORY REPORT                                                        PAGE 8
FC3.3                                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                      REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY    COST BASIS DESCRIPTION
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ARMSTR JHF      John Hancock Financial Service
PUR   04-23-01   263828         38,600.000      35.664  1,375,094.12                                                  38,600  1,375,094.12 John Hancock Financial Service
                              ---------------           ------------- ------------ --------------- -------------  ----------- ------------
      TOTAL -                   38,600.000              1,375,094.12         0.00            0.00          0.00       38,600  1,375,094.12

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR JHF      John Hancock Financial Service    38,600.000 SHRS      35.624    1,375,094.12     41.300 12-31-01    1,594,180.00      219,085.88

ARMSTR JNY      Jones Apparel Group Inc
SAL   02-07-01   251846        -14,500.000      38.038                  550,658.26     -367,055.90    183,602.36                           Jones Apparel Group @38.0377
SAL   02-08-01   251848        -38,100.000      38.000                1,445,465.74   -1,016,301.10    429,164.64                           Jones Apparel Group @38.00
                              ---------------           ------------- ------------ --------------- -------------  ----------- ------------
      TOTAL -                  -52,600.000                      0.00 1,996,124.00   -1,383,357.00    612,767.00            0          0.00

ARMSTR JPM      J.P. Morgan Chase & Co
CNVTO 01-02-01   249156.1       15,000.000      52.560    788,400.00                                                  15,000    788,400.00 Chase Manhattan to JP Morgan
CNVTO 01-02-01   249156.2        6,800.000      51.966    353,368.80                                                   6,800    353,368.80 Chase Manhattan to JP Morgan
CNVTO 01-02-01   249156.3        1,100.000      56.498     62,147.25                                                   1,100     62,147.25 Chase Manhattan to JP Morgan
CNVTO 01-02-01   249156.4       22,400.000      42.185    944,944.00                                                  22,400    944,944.00 Chase Manhattan to JP Morgan
PUR   07-13-01   273106          6,700.000      42.650    286,157.00                                                   6,700    286,157.00 JP Morgan Chase and Company
PUR   10-02-01   281011          7,000.000      34.650    242,972.80                                                   7,000    242,972.80 JP Morgan Chase and Co.
PUR   12-04-01   287226          5,100.000      36.479    186,347.88                                                   5,100    186,347.88 J.P. Morgan Chase and Co
                              ---------------           ------------- ------------ --------------- -------------  ----------- ------------
      TOTAL -                   64,100.000              2,864,337.73         0.00            0.00          0.00       64,100  2,864,337.73

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                     QUANTITY UOM        AVERAGE            COST      PRICE   DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR JPM      J.P. Morgan Chase & Co            64,100.000 SHRS      44.685    2,864,337.73     36.350 12-31-01    2,330,035.00     -534,302.73

ARMSTR JPMSWEEP  J P Morgan Money Market Sweep
PUR   01-02-01   249151        183,000.000       1.000    183,000.00                                                       0          0.00 Prime Money Market Sweep Fund
SAL   01-05-01   249153        -59,000.000       1.000                 59,000.00      -59,000.00          0.00                           Prime Money Market Sweep Fund
PUR   01-09-01   249152      1,601,133.370       1.000  1,601,133.37                                                       0          0.00 Prime Money Market Sweep Fund
SAL   01-18-01   249154           -166.670       1.000                    166.67         -166.67          0.00                           Prime Money Market Sweep Fund
SAL   01-22-01   249594     -1,303,062.900       1.000              1,303,062.90   -1,303,062.90          0.00                           Prime Money Market Sweep Fund
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04-23-02
PC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY TYPE	INVESTMENT TXN DATE	DESCRIPTION TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	01-26-01	249590	1,591,554.880	1.000	1,591,554.88				0	0.00	Prime Money Market Sweep Fund
SAL	02-05-01	251832	-333.340	1.000		333.34	-333.34	0.00			To reimburse safekeeping fees
SAL	02-08-01	251844	-597,324.000	1.000		597,324.00	-597,324.00	0.00			Prime Money Market Sweep Fund
PUR	02-12-01	251839	550,658.260	1.000	550,658.26				0	0.00	Prime Money Market Sweep Fund
PUR	02-13-01	251841	2,277,443.970	1.000	2,277,443.97				0	0.00	Prime Money Market Sweep Fund
SAL	02-14-01	251845	-1,556,178.000	1.000		1,556,178.00	-1,556,178.00	0.00			Prime Money Market Sweep Fund
SAL	02-20-01	252230	-412,437.670	1.000		412,437.67	-412,437.67	0.00			Prime Money Market Sweep Fund
SAL	02-28-01	252231	-45,789.330	1.000		45,789.33	-45,789.33	0.00			Prime Money Market Sweep Fund
SAL	03-02-01	257030	-992,848.600	1.000		992,848.60	-992,848.60	0.00			Prime Money Market Sweep Fund
SAL	03-08-01	257031	-1,069,200.000	1.000		1,069,200.00	-1,069,200.00	0.00			Prime Money Market Sweep Fund
PUR	03-22-01	257233	1,763,081.220	1.000	1,763,081.22				0	0.00	Prime Money Market Sweep Fund
SAL	04-11-01	263009	-1,033,230.600	1.000		1,033,230.60	-1,033,230.60	0.00			Prime Money Market Sweep Fund
PUR	04-16-01	263008	1,619,224.970	1.000	1,619,224.97				0	0.00	Prime Money Market Sweep Fund
SAL	04-18-01	263010	-166.670	1.000		166.67	-166.67	0.00			Prime Money Market Sweep Fund
SAL	04-20-01	263826	-13,924.470	1.000		13,924.47	-13,924.47	0.00			Prime money Market Sweep Fund
SAL	04-26-01	263827	-455,742.480	1.000		455,742.48	-455,742.48	0.00			Prime money Market Sweep Fund
SAL	04-30-01	264161	-1,090,895.070	1.000		1,090,895.07	-1,090,895.07	0.00			Prime Money Market Sweep Fund
PUR	05-07-01	266282	996,972.160	1.000	996,972.16				0	0.00	Prime Money Market Sweep Fund
PUR	05-17-01	266284	1,797,514.070	1.000	1,797,514.07				0	0.00	Prime Money Market Sweep Fund
SAL	06-01-01	268738	-1,422,007.500	1.000		1,422,007.50	-1,422,007.50	0.00			Prime Money Market Sweep Fund
SAL	06-12-01	268739	-943,042.350	1.000		943,042.35	-943,042.35	0.00			Prime Money Market Sweep Fund
SAL	06-13-01	269684	-229,320.450	1.000		229,320.45	-229,320.45	0.00			Prime Money Market Sweep Fund
SAL	06-14-01	269685	-550,140.000	1.000		550,140.00	-550,140.00	0.00			Prime Money Market Sweep Fund
SAL	06-22-01	270549	-489,720.000	1.000		489,720.00	-489,720.00	0.00			Prime MM Sweep Fund
SAL	06-26-01	270560	-473,952.000	1.000		473,952.00	-473,952.00	0.00			Prime MM Sweep Fund
PUR	07-18-01	273099	137,552.670	1.000	137,552.67				0	0.00	Prime MM Sweep fund
SAL	07-23-01	274324	-51,150.000	1.000		51,150.00	-51,150.00	0.00			Prime MM Sweep Fund
PUR	07-25-01	273437	1,206,856.030	1.000	1,206,856.03				0	0.00	Prime MM Sweep Fund
SAL	08-07-01	274698	-1,114,341.880	1.000		1,114,341.88	-1,114,341.88	0.00			Prime MM Sweep Fund
PUR	08-21-01	275924	419,334.200	1.000	419,334.20				0	0.00	Prime MM Sweep Fund
PUR	08-22-01	275925	746,708.460	1.000	746,708.46				0	0.00	Prime MM Sweep Fund
SAL	10-01-01	280996	-933,478.740	1.000		933,478.74	-933,478.74	0.00			Prime MM Sweep Fund
PUR	10-02-01	280992	418,299.950	1.000	418,299.95				0	0.00	Prime MM Sweep Fund
PUR	10-03-01	280994	2,403,338.000	1.000	2,403,335.00				0	0.00	Prime MM Sweep Fund
SAL	10-05-01	280997	-4,217,388.180	1.000		4,217,388.18	-4,217,388.18	0.00			Prime MM Sweep Fund
PUR	10-09-01	280995	1,058,549.240	1.000	1,058,549.24				0	0.00	Prime MM Sweep Fund
SAL	10-16-01	281686	-3,364.700	1.000		3,364.70	-3,364.70	0.00			Prime MM Sweep Fund

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ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	10-10-01	281687	-1,042,342.670	1.000		1,042,342.67	-1,042,342.67	0.00			Prime Mm Sweep Fund
SAL	10-26-01	282510	-44,041.330	1.000		44,041.33	-44,041.33	0.00			Prime MM Sweep Fund
SAL	10-29-01	282511	-585,961.670	1.000		585,961.67	-585,961.67	0.00			Prime MM Sweep Fund
PUR	10-31-01	282507	959,329.580	1.000	959,329.58				0	0.00	Prime MM Sweep Fund
PUR	11-02-01	284133	2,075,690.000	1.000	2,075,690.00				0	0.00	Prime MM Sweep Fund
PUR	11-09-01	284134	1,142,817.860	1.000	1,142,817.86				58,195	58,194.85	Prime MM Sweep Fund
PUR	11-16-01	284749	558,918.050	1.000	558,918.05				558,918	558,918.08	Prime MM Sweep Fund
PUR	12-03-01	287214	399,524.980	1.000	399,524.98				399,525	399,524.98	Prime MM Sweep Fund
SAL	12-07-01	287216	-3,083,292.910	1.000		3,083,292.91	-3,083,292.91	0.00			Prime MM Sweep Fund
PUR	12-18-01	287749	41,589.490	1.000	41,589.49				41,589	41,589.49	Prime MM Sweep Fund
SAL	12-26-01	288216	-1,036,349.680	1.000		1,036,349.68	-1,036,349.68	0.00			Prime MM Sweep Fund
	TOTAL -		-901,105.450		23,949,088.41	24,850,193.86	-24,850,193.86	0.00	1,058,227	1,058,227.37	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
ARMSTR JPMSWEEP	J P Morgan Money Market Sweep	3,890,132.460	UNTS	1.000	3,890,132.46	1.000	12-31-01	1,058,227.37	-2,831,905.09

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ARMSTR KMG		Kerr-McGee Corp									
PUR	07-13-01	273107	2,900.000	61.080	177,306.00				2,900	177,306.00	Kerr McGee Corp
PUR	10-02-01	281012	2,300.000	50.850	117,093.00				2,300	117,093.00	Kerr McGee Corp
PUR	12-04-01	287227	3,700.000	53.150	196,878.11				3,700	196,878.11	Kerr McGee Corp
	TOTAL -		8,900.000		491,277.11	0.00	0.00	0.00	8,900	491,277.11	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION		QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
ARMSTR KMG	Kerr-McGee Corp	33,300.000	SHRS	56.653	1,886,528.69	54.800	12-31-01	1,824,840.00	-61,688.69

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
ARMSTR LMCA		Liberty Media Corp CL A									
CNVTO	08-13-01	275607.1	30,000.000	24.466	733,989.00				30,000	733,989.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275607.2	16,500.000	24.185	399,052.50				16,500	399,052.50	AT&T Corp Liberty exchange
CNVTO	08-13-01	275607.3	13,300.000	22.810	303,373.00				13,300	303,373.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275607.4	70,000.000	14.248	997,325.00				70,000	997,325.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275607.5	15,600.000	12.935	201,786.00				15,600	201,786.00	AT&T Corp Liberty exchange
CNVTO	08-13-01	275607.6	4,000.000	15.810	63,240.00				4,000	63,240.00	AT&T Corp Liberty exchange
PUR	10-02-01	281013	12,500.000	12.350	155,125.00				12,500	155,125.00	Liberty Media Corp A

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ENTITY INVESTMENT DESCRIPTION --                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY     COST BASIS  DESCRIPTION
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PUR   12-04-01   287228           15,500.000     13.543   210,852.70                                                15,500   210,852.70  Liberty Media Corp A
                               -------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                    177,400.000            3,064,743.20          0.00            0.00          0.00     177,400 3,064,743.20

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE         COST     PRICE    DATE    MARKET VALUE  UNREALIZED G/L
      ARMSTR LMCA       Liberty Media Corp CL A      177,400.000 SHRS      17.276  3,064,743.20    14.000  12-31-01  2,483,600.00    -581,143.20

ARMSTR LMGA        AT&T CRP - Liberty Media A
PUR   07-13-01   273100            4,000.000     15.750    63,240.00                                                     0         0.00  AT&T Corp-Liberty Media A
CNVF2 08-13-01   275607         -149,400.000     15.730                2,698,765.50   -2,698,765.50          0.00                           AT&T Corp Liberty exchange
                               -------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                   -145,400.000               63,240.00  2,698,765.50   -2,698,765.50          0.00           0         0.00

ARMSTR MAR         Marriott International Inc
SAL   01-04-01   249155          -35,300.000     45.419                1,601,133.37   -1,428,443.50    172,689.87                           Marriott Int'l CL A @45.4194
                               -------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                    -35,300.000                    0.00  1,601,133.37   -1,428,443.50    172,689.87           0         0.00

ARMSTR MTG         MGIC Investment Corp WIS
SAL   04-10-01   263011          -24,100.000     67.250                1,619,224.97   -1,327,284.48    291,940.49                           MGIC Investment Corp WIS
PUR   12-20-01   288214           20,300.000     59.400 1,207,038.00                                                20,300 1,207,038.00  MGIC Investment Corp @59.40
                               -------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                     -3,800.000            1,207,038.00  1,619,224.97   -1,327,284.48    291,940.49      20,300 1,207,038.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE         COST     PRICE    DATE    MARKET VALUE  UNREALIZED G/L
      ARMSTR MTG        MGIC Investment Corp WIS      20,300.000 SHRS      59.460  1,207,038.00    61.720  12-31-01  1,252,916.00      45,878.00

ARMSTR OHP         Oxford Health Plans Inc
PUR   08-02-01   274699           43,100.000     25.795 1,114,341.88                                                43,100 1,114,341.88  Oxford Health Plans @25.7946
                               -------------            ------------ ------------- --------------- ------------- ----------- ------------
      TOTAL -                     43,100.000            1,114,341.88          0.00            0.00          0.00      43,100 1,114,341.88

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE         COST     PRICE    DATE    MARKET VALUE  UNREALIZED G/L
      ARMSTR OHP        Oxford Health Plans Inc       43,100.000 SHRS      25.855  1,114,341.88    30.140  12-31-01  1,299,034.00     184,692.12
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ENTITY INVESTMENT DESCRIPTION                                                                                 REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE    COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY     COST BASIS  DESCRIPTION
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ARMSTR PBI          Pitney-Bowes Inc
SAL   07-13-01    273112         -10,800.000     41.900                  461,856.91     -396,878.40     54,978.51                            Pitney Bowes Inc
PUR   10-02-01    281014           1,000.000     37.940     38,000.00                                                   1,000      37,145.57  Pitney Bowes Inc
PUR   12-04-01    289152           3,700.000     41.790    154,845.00                                                   3,700     154,845.00  Pitney-Bowes Inc @41.79
CNVFR 12-06-01    289151               0.000     41.480                   37,775.56      -37,775.56          0.00                            Pitney-Bowes spinoff-Imagistic
SAL   12-20-01    289164          -9,900.000     37.950                  375,098.47     -356,377.24     18,721.23                            Pitney-Bowes Inc @37.95
                                -------------             ------------ ------------- --------------- ------------- ----------- -------------
      TOTAL -                    -16,000.000               192,845.00    864,730.94     -791,031.20     73,699.74       4,700     191,990.57

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST       PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR PBI       Pitney-Bowes Inc                   46,900.000 SHRS       30.719    1,440,726.15      37.610 12-31-01    1,763,909.00      323,182.85

ARMSTR Pierpont   J.P. Morgan Funds
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST       PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR Pierpont  J.P. Morgan Funds                 209,931.400 UNTS        1.000      209,931.40       1.000 12-31-01      209,931.40            0.00

ARMSTR RSH          Radioshack Corp
PUR   04-25-01    364163          36,100.000     30.159  1,090,895.07                                                  36,100   1,090,895.07  Radioshack Corp @30.1587
PUR   10-02-01    281015          25,000.000     24.364    610,587.50                                                  25,000     610,587.50  Radioshack Corp
                                -------------             ------------ ------------- --------------- ------------- ----------- -------------
      TOTAL -                     61,100.000             1,701,482.57          0.00            0.00          0.00      61,100   1,701,482.57

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                         QUANTITY UOM       AVERAGE            COST       PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      ARMSTR RSH       Radioshack Corp                    61,100.000 SHRS       27.848    1,701,482.57      30.100 12-31-01    1,839,110.00      137,627.43

ARMSTR SGP          Schering-Plough
PUR   01-05-01    257032          27,500.000     38.820  1,069,200.00                                                  27,500   1,069,200.00  Schering-Plough Corp @38.82
PUR   07-13-01    273108           3,400.000     36.740    125,120.00                                                   3,400     125,120.00  Schering Plough Corp
PUR   12-04-01    287231           1,500.000     35.860     53,790.00                                                   1,500      53,790.00  Schering Plough Corp
                                -------------             ------------ ------------- --------------- ------------- ----------- -------------
      TOTAL -                     32,400.000             1,248,110.00          0.00            0.00          0.00      32,400   1,248,110.00
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ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	ARMSTR SGP	Schering-Plough			32,400.000 SHRS	38.522	1,248,110.00	35.810	12-31-01	1,160,244.00	-87,866.00
ARMSTR SLM	USA Education Inc										
SAL	03-19-01	257234	-24,500.000	72.025		1,763,081.22	-1,064,970.75	698,110.47			USA Education Inc @72.0249
	TOTAL -		-24,500.000		0.00	1,763,081.22	-1,064,970.75	698,110.47	0	0.00	
ARMSTR SPLS	Staples Inc										
PUR	10-03-01	281018	18,600.000	14.314	266,236.68				18,600	266,236.68	Staples Inc
	TOTAL -		18,600.000		266,236.68	0.00	0.00	0.00	18,600	266,236.68	
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	ARMSTR SPLS	Staples Inc			105,600.000 SHRS	13.283	1,402,688.63	18.700	12-31-01	1,974,720.00	572,031.37
ARMSTR SWY	Safeway Inc										
PUR	10-15-01	281695	23,600.000	44.160	1,042,176.00				23,600	1,042,176.00	Safeway Inc @44.16
PUR	12-04-01	287230	2,600.000	45.330	117,858.00				2,600	117,858.00	Safeway Inc
PUR	12-20-01	288215	17,500.000	41.460	725,550.00				17,500	725,550.00	Safeway Inc @41.46
	TOTAL -		43,700.000		1,885,584.00	0.00	0.00	0.00	43,700	1,885,584.00	
	CURRENT HOLDINGS -										
	ENTITY INVESTMENT DESCRIPTION				QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
	ARMSTR SWY	Safeway Inc			43,700.000 SHRS	43.148	1,885,584.00	41.750	12-31-01	1,824,475.00	-61,109.00
ARMSTR TX	Texaco										
SAL	05-14-01	266286	-25,500.000	70.553		1,797,514.07	-1,331,018.41	466,495.66			Texaco Inc @70.5531
	TOTAL -		-25,500.000		0.00	1,797,514.07	-1,331,018.41	466,495.66	0	0.00	
ARMSTR TXT	Textron Inc										
PUR	02-14-01	252232	7,900.000	52.147	412,437.67				7,900	412,437.67	Textron Inc @52.1473
PUR	10-02-01	281016	15,500.000	35.260	546,530.00				15,500	546,530.00	Textron Inc

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                                                                                    Market Street Trust Company
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ENTITY INVESTMENT DESCRIPTION                                                                                          REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS     QUANTITY   COST BASIS  DESCRIPTION
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      TOTAL -                [illegible]1,400.000                  958,967.67           0.00            0.00          0.00       23,400   958,967.67

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      ARMSTR TXT        Textron Inc                                51,700.000 SHRS       45.562    2,366,534.51      41.460  12-31-01   2,143,482.00      -212,052.51

ARMSTR WHR        Whirlpool Corp
SAL   07-13-01      273113     -11,000.000     67.604                   742,954.81     -428,285.00    314,669.81                          Whirlpool Corp
PUR   10-02-01      281017       3,000.000     54.460     163,560.00                                                      3,000   163,860.00  Whirlpool Corp
                             -------------             -------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                   -8,000.000                163,560.00    742,954.81     -428,285.00    314,669.81        3,000   163,560.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      ARMSTR WHR        Whirlpool Corp                             27,800.000 SHRS       41.054    1,141,298.00      73.330  12-31-01   2,038,574.00       897,276.00

ARMSTR WYE        Wyeth
      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      ARMSTR WYE        Wyeth                                      33,600.000 SHRS       55.743    1,872,957.80                                                -1,872,957.60

ARMSTR YUM        Tricon Global Restaurants
SAL   10-26-01      282612     -29,200.000     49.167                 1,431,870.70     -795,509.50    638,361.20                          Tricon Global Restaurants Inc
PUR   12-04-01      287232       3,200.000     49.496     158,580.16                                                      3,200   158,580.16  Tricon Global Restaurants
                             -------------             -------------  ------------- --------------- -------------  ----------  -----------
      TOTAL -                  -26,000.000                158,580.16  1,433,870.70     -795,508.80    638,361.20        3,200   158,580.16

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                 QUANTITY UOM        AVERAGE            COST       PRICE   DATE       MARKET VALUE   UNREALIZED G/L
      ARMSTR YUM        Tricon Global Restaurants                  24,400.000 SHRS       33.346      813,639.66      49.200  12-31-01   1,200,480.00       386,840.34

MSET1  JPMSWEEP   J P Morgan Money Market Sweep
PUR   02-28-01      252205   28,995,419.840      1.000  28,995,419.84                                                         0         0.00  Prime Money Market Sweep fund
SAL   03-01-01      257066  -20,000,000.000      1.000                20,000,000.00  -20,000,000.00          0.00                             Transfer of JPM Funds to PCN
SAL   04-09-01      262794   -7,862,985.000      1.000                 7,862,985.00   -7,862,985.00          0.00                             Prime Money Market Sweep Fund
SAL   04-20-01      263830      -13,924.470      1.000                    13,924.47      -13,924.47          0.00                             Prime Money Market Sweep Fund
PUR   05-02-01      266275      122,100.000      1.000     122,100.00                                                         0         0.00  Prime Money Market Sweep Fund
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04-23-02
PC3.1

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
SAL	05-18-01	267807	-3,629.600	1.000		3,629.60	-3,629.60	0.00			Prime Money Market Sweep Fund
SAL	06-01-01	268714	-1,236,980.770	1.000		1,236,980.77	-1,236,980.77	0.00			Prime Money Market Sweep Fund
PUR	06-04-01	268716	4,493.380	1.000	4,493.38				4,493	4,493.38	Prime Money Market Sweep Fund
	TOTAL -		4,493.380		29,122,013.22	29,117,519.84	-29,117,519.84	0.00	4,493	4,493.38	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
MSET1	JPMMKE9	J P Morgan Money Market Sweep	100.000	UNTS	1.000	100.00	1.000	12-31-01	4,493.38	4,393.38

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
MSET3	LLPFX	Longleaf Partners Fund									
PUR	02-02-01	251581	7,234.043	23.500	170,000.00				0	0.00	2/1 Longleaf Fund purchase
SAL	02-27-01	252456	-1,054,418.550	23.400		24,673,394.07	-29,191,426.00	-4,518,031.93			2/27 Longleaf Fd redemption
SAL	02-27-01	252456	-184,701.956	23.400		4,322,025.77	-3,808,775.71	513,250.06			2/27 Longleaf Fd redemption
	TOTAL -		-1,231,886.463		170,000.00	28,995,419.84	-33,000,201.71	-4,004,781.87	0	0.00	
PCM	AAPL	Apple Computer Inc									
PUR	08-20-01	278883	13,400.000	18.050	241,870.00				13,400	241,870.00	Apple Computer Inc @18.05
PUR	09-27-01	279054	8,200.000	15.569	127,665.80				8,200	127,665.80	Apple Computer Inc @15.569
	TOTAL -		21,600.000		369,535.80	0.00	0.00	0.00	21,600	369,535.80	

CURRENT HOLDINGS -

ENTITY	INVESTMENT	DESCRIPTION	QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	AAPL	Apple Computer Inc	21,600.000	SHRS	17.108	369,535.80	21.900	12-31-01	473,040.00	103,504.20

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	ANDW	Andrew Corp									
PUR	04-06-01	263127	300.000	14.250	4,275.00				300	4,275.00	Andrew Corp
PUR	04-06-01	263131	3,600.000	14.250	51,300.00				3,600	51,300.00	Andrew Corp
PUR	04-06-01	263132	200.000	14.250	2,850.00				200	2,850.00	Andrew Corp
PUR	04-06-01	263133	100.000	14.250	1,425.00				100	1,425.00	Andrew Corp
PUR	04-06-01	263134	3,300.000	14.250	47,025.00				3,300	47,025.00	Andrew Corp
PUR	04-06-01	263135	1,000.000	14.250	14,250.00				1,000	14,250.00	Andrew Corp
PUR	04-06-01	263136	300.000	14.000	4,200.00				300	4,200.00	Andrew Corp
PUR	04-06-01	263137	500.000	14.125	7,062.50				500	7,062.50	Andrew Corp
PUR	04-06-01	263138	300.000	14.250	4,275.00				300	4,275.00	Andrew Corp

04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION -

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	04-06-01	263139	500.000	14.250	7,125.00				500	7,125.00	Andrew Corp
PUR	04-06-01	263140	100.000	14.188	1,418.75				100	1,418.75	Andrew Corp
PUR	04-06-01	263141	100.000	14.125	1,412.50				100	1,412.50	Andrew Corp
PUR	04-06-01	263142	100.000	14.250	1,425.00				100	1,425.00	Andrew Corp
PUR	04-06-01	263143	100.000	14.250	1,425.00				100	1,425.00	Andrew Corp
PUR	04-06-01	263144	200.000	14.000	2,800.00				200	2,800.00	Andrew Corp
PUR	04-06-01	263145	1,000.000	14.250	14,250.00				1,000	14,250.00	Andrew Corp
PUR	04-06-01	263146	200.000	14.188	2,837.50				200	2,837.50	Andrew Corp
PUR	04-06-01	263147	500.000	14.250	7,125.00				500	7,125.00	Andrew Corp
PUR	04-06-01	263148	300.000	14.063	4,218.75				300	4,218.75	Andrew Corp
PUR	04-06-01	263149	100.000	14.250	1,425.00				100	1,425.00	Andrew Corp
PUR	04-06-01	263150	100.000	14.250	1,425.00				100	1,425.00	Andrew Corp
PUR	04-06-01	263151	1,000.000	14.250	14,250.00				1,000	14,250.00	Andrew Corp
PUR	04-06-01	263152	400.000	14.125	5,650.00				400	5,650.00	Andrew Corp
PUR	04-06-01	263153	100.000	14.219	1,421.88				100	1,421.88	Andrew Corp
	TOTAL -		14,400.000		204,871.88	0.00	0.00	0.00	14,400	204,871.88	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	ANDW	Andrew Corp	14,400.000 SHRS	14.227	204,871.88	21.890	12-31-01	315,216.00	110,344.12

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	AT	Alltel Corp									
PUR	03-02-01	257087	7,500.000	54.481	409,059.75				7,500	409,059.75	Alltel Corp Del
PUR	03-08-01	257088	3,700.000	54.380	201,428.00				3,700	201,428.00	Alltel Corp Del
PUR	04-08-01	263123	2,200.000	51.250	112,882.00				2,200	112,882.00	Alltel Corp Del
PUR	05-29-01	267622	3,900.000	57.189	223,271.10				3,900	223,271.10	Alltel Corp @57.189
	TOTAL -		17,300.000		946,640.85	0.00	0.00	0.00	17,300	946,640.85	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	AT	Alltel Corp	23,600.000 SHRS	55.339	1,305,995.90	61.730	12-31-01	1,067,929.00	-238,066.90

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	BBOX	Black Box Corp									
PUR	03-19-01	257196	200.000	41.780	8,362.00				200	8,362.00	Black Box Corp
PUR	03-19-01	257197	3,200.000	41.875	134,192.00				3,200	134,192.00	Black Box Corp

04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	03-19-01	257198	1,000.000	41.623	41,485.00				1,000	41,685.00	Black Box Corp
PUR	03-19-01	257200	300.000	41.680	12,524.25				300	12,524.25	Black Box Corp
PUR	03-19-01	257201	100.000	41.625	4,168.50				100	4,168.50	Black Box Corp
	TOTAL -		4,800.000		200,931.75	0.00	0.00	0.00	4,800	200,931.75	

CURRENT HOLDINGS -

ENTITY INVESTMENT DESCRIPTION			QUANTITY	UOM	AVERAGE	COST	PRICE	DATE	MARKET VALUE	UNREALIZED G/L
PCM	BBOX	Black Box Corp	4,800.000	SHRS	41.861	200,931.75	52.880	12-31-01	253,824.00	52,892.25

TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PCM	BKNG	BankNorth Group Inc									
PUR	04-19-01	263911	800.000	20.400	16,320.00				800	16,320.00	BankNorth Group Inc
PUR	04-19-01	263912	100.000	20.420	2,042.00				100	2,042.00	BankNorth Group Inc
PUR	04-19-01	263913	400.000	20.450	8,180.00				400	8,180.00	BankNorth Group Inc
PUR	04-19-01	263914	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263915	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263917	500.000	20.400	10,200.00				500	10,200.00	BankNorth Group Inc
PUR	04-19-01	263918	1,000.000	20.420	20,420.00				1,000	20,420.00	BankNorth Group Inc
PUR	04-19-01	263919	1,000.000	20.420	20,420.00				1,000	20,420.00	BankNorth Group Inc
PUR	04-19-01	263920	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263921	600.000	20.410	12,246.00				600	12,246.00	BankNorth Group Inc
PUR	04-19-01	263922	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263923	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263924	900.000	20.420	18,378.00				900	18,378.00	BankNorth Group Inc
PUR	04-19-01	263925	100.000	20.420	2,042.00				100	2,042.00	BankNorth Group Inc
PUR	04-19-01	263926	500.000	20.430	10,215.00				500	10,215.00	BankNorth Group Inc
PUR	04-19-01	263927	100.000	20.430	2,043.00				100	2,043.00	BankNorth Group Inc
PUR	04-19-01	263928	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263929	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263930	100.000	20.400	2,040.00				100	2,040.00	BankNorth Group Inc
PUR	04-19-01	263931	500.000	20.430	10,215.00				500	10,215.00	BankNorth Group Inc
PUR	04-19-01	263932	100.000	20.440	2,044.00				100	2,044.00	BankNorth Group Inc
PUR	04-19-01	263949	100.000	20.430	2,043.00				100	2,043.00	BankNorth Group Inc
PUR	04-19-01	263950	1,000.000	20.430	20,430.00				1,000	20,430.00	BankNorth Group Inc
PUR	04-19-01	263951	900.000	20.430	18,387.00				900	18,387.00	BankNorth Group Inc
	TOTAL -		15,700.000		320,675.00	0.00	0.00	0.00	15,700	320,675.00	

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04-23-02                                                              Market Street Trust Company
FC3.3                                                            PURCHASE / SALE DETAIL HISTORY REPORT
                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    BKNG       BankNorth Group Inc                   15,700.000 SHRS       20.425     320,675.00    22.520  12-31-01    353,564.00       32,889.00

PCM    BLC        A H Belo Corp Class A
PUR   05-30-01     267524        23,200.000    19.315    449,502.32                                              23,200    449,502.32  Belo Corp @19.3151
PUR   11-01-01     284146         5,100.000    17.386     88,973.07                                               5,100     88,973.07  Belo Corp @17.3857
                               ------------            ------------  ------------- --------------- -------------  --------  ------------
      TOTAL -                    28,300.000              538,475.39          0.00            0.00          0.00    28,300    538,475.39

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    .BLC       A H Belo Corp Class A                 28,300.000 SHRS       19.027     538.475.39    18.750  12-31-01    530,625.00       -7,850.39

PCM    BOH        Pacific Century Financial Corp
PUR   03-22-01     259189        15,100.000    18.772    284,358.67                                              15,100    284,358.67  Pacific Century Financial Gp
PUR   04-18-01     263909         5,300.000    20.976    111,488.15                                               5,300    111,488.15  Pacific Century Financial Corp
                               ------------            ------------  ------------- --------------- -------------  --------  ------------
      TOTAL -                    20,400.000              395,846.82          0.00            0.00          0.00    20,400    395,846.82

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    BOH        Pacific Century Financial Corp        20,400.000 SHRS       19.404     395,846.82    25.890  12-31-01    528,156.00      132,309.18

PCM    BSC        Bear Stearns Cos Inc Com
PUR   03-21-01     259184        12,700.000    46.439    590,536.03                                              12,700    590,536.03  Bear Stearns Companies
                               ------------            ------------  ------------- --------------- -------------  --------  ------------
      TOTAL -                    12,700.000              590,536.03          0.00            0.00          0.00    12,700    590,536.03

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                               QUANTITY UOM       AVERAGE          COST     PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    BSC        Bear Stearns Cos Inc Com              12,700.000 SHRS       46.499     590,536.03    58.640  12-31-01    744,728.00      154,191.97

PCM    CA         Computer Associates Int'l Inc
PUR   03-02-01     257089         6,400.000    30.702    196,874.24                                               6,400    196,874.24  Computer Associates Int'l Inc
PUR   03-06-01     257090         7,700.000    27.951    215,687.01                                               7,700    215,687.01  Computer Associates Int'l Inc
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04-23-02                                                              Market Street Trust Company
FC1.3                                                          PURCHASE / SALE DETAIL HISTORY REPORT                                                        PAGE 19
                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                   REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER        QUANTITY      PRICE   COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS  QUANTITY     COST BASIS  DESCRIPTION
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PUR   03-16-01    257194        13,400.000    24.291   326,306.08                                                  13,400   326,306.08  Computer Associates Int'l Inc.
                              ------------             ----------  ------------- --------------- ------------- ----------  ------------
      TOTAL -                   27,500.000             738,867.33          0.00            0.00          0.00      27,500   738,867.33

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST       PRICE    DATE       MARKET VALUE   UNREALIZED G/L
      PCM    CA        Computer Associates Int'l Inc    84,200.000 SHRS      22.892    1,927,515.00     34.490  12-31-01     948,475.00     -979,040.00

PCM    CBSH       Commerce Bancshares Inc
PUR   06-14-01    269757         9,900.000    36.190   358,281.00                                                  10,395   358,281.00  Commerce Bancshares Inc
SPLDV 12-14-01    287689           495.000                   0.00                                                       0         0.00  Commerce Bancshares stock div.
                              ------------             ----------  ------------- --------------- ------------- ----------  ------------
      TOTAL -                   10,395.000             358,281.00          0.00            0.00          0.00      10,395   358,281.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST       PRICE    DATE       MARKET VALUE   UNREALIZED G/L
      PCM    CBSH      Commerce Bancshares Inc          10,395.000 SHRS      34.467      358,281.00     38.990  12-31-01     405,301.05       47,020.06

PCM    CCN        Chris Craft Industries Inc.
PUR   03-02-01    257078         8,500.000    70.374   598,689.85                                                       0         0.00  Chris Craft Inds
CNVPR 08-08-01    279376        -8,500.000    69.700                  597,380.59     -598,689.85     -1,309.26                          Chris Craft cash elect/exch.
                              ------------             ----------  ------------- --------------- ------------- ----------  ------------
      TOTAL -                        0.000             598,689.85     597,380.59     -598,689.85     -1,309.26          0         0.00

PCM    CP         Charter One Financial Inc
PUR   04-18-01    263906        15,800.000    27.118   429,409.24                                                  16,590   429,409.24  Charter One Financial Inc
PUR   09-25-01    278931         4,300.000    26.250   113,133.00                                                   4,300   113,133.00  Charter One Financial Inc
SPLDV 09-28-01    278939           790.000                   0.00                                                       0         0.00  Charter One Financial 5% stock
                              ------------             ----------  ------------- --------------- ------------- ----------  ------------
      TOTAL -                   20,890.000             542,542.24          0.00            0.00          0.00      20,890   542,542.24

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM       AVERAGE          COST       PRICE    DATE       MARKET VALUE   UNREALIZED G/L
      PCM    CP        Charter One Financial Inc        20,890.000 SHRS      25.971      542,542.24     27.150  12-31-01     567,163.50       24,621.26

PCM    CI         Cigna Corp
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                                                                        Market Street Trust Company
04-23-02                                                         PURCHASE / SALE DETAIL HISTORY REPORT                                                     PAGE 20
FC3.3                                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY   COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                  QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    CJ        Cigna Corp                                 4,900.000 SHRS      91.473     448,219.17                                           -448,219.17

PCM   COGN       Cognos Inc
PUR   03-02-01     257103         2,600.000     19.563     50,862.50                                                2,600   50,862.50  Cognos Inc
PUR   03-02-01     257104           100.000     19.563      1,956.25                                                  100    1,956.25  Cognos Inc
PUR   03-02-01     257105           200.000     19.688      3,937.50                                                  200    3,937.50  Cognos Inc
PUR   03-02-01     257106         2,300.000     19.563     44,993.75                                                2,300   44,993.75  Cognos Inc
PUR   03-02-01     257107           200.000     19.688      3,937.50                                                  200    3,937.50  Cognos Inc
PUR   03-02-01     257108         4,000.000     19.563     78,250.00                                                4,000   78,250.00  Cognos Inc
PUR   04-06-01     263154         1,000.000     15.313     15,312.50                                                1,000   15,312.50  Cognos Inc
PUR   04-06-01     263155           500.000     15.313      7,656.25                                                  500    7,656.25  Cognos Inc
PUR   04-06-01     263156           300.000     15.313      4,593.75                                                  300    4,593.75  Cognos Inc
PUR   04-06-01     263157         1,000.000     15.313     15,312.50                                                1,000   15,312.50  Cognos Inc
PUR   04-06-01     263158         1,000.000     15.313     15,312.50                                                1,000   15,312.50  Cognos Inc
PUR   04-06-01     263159           100.000     15.313      1,531.25                                                  100    1,531.25  Cognos Inc
PUR   04-06-01     263160         1,000.000     15.313     15,312.50                                                1,000   15,312.50  Cognos Inc
PUR   04-06-01     263161         4,500.000     15.313     68,906.25                                                4,500   68,906.25  Cognos Inc
                              -------------             ------------  ------------- --------------- -------------  ----------  ----------
      TOTAL -                    18,800.000               327,875.00           0.00            0.00          0.00      18,800  327,875.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                  QUANTITY UOM      AVERAGE           COST      PRICE   DATE      MARKET VALUE   UNREALIZED G/L
      PCM    COGN      Cognos Inc                                18,800.000 SHRS      17.440     327,875.00     25.000  12-31-01    470,000.00       142,125.00

PCM   DOBJF      Dundee Bancorp Sub Vtg A
PUR   06-29-01     271117         7,900.000     12.793    101,541.07                                                7,900  101,541.07  Dundee Bancorp Sub Vtg A
PUR   10-22-01     282185         1,200.000      8.793     10,648.03                                                1,200   10,648.03  Dundee Bancorp Inc Sub Vtg CLA
PUR   10-22-01     282186         1,000.000      8.666      8,745.92                                                1,000    8,745.92  Dundee Bancorp Inc Sub Vtg CLA
PUR   10-22-01     282187         1,000.000      8.538      8,618.48                                                1,000    8,618.48  Dundee Bancorp Inc Sub Vtg CLA
PUR   10-22-01     282188         4,700.000      8.284     39,308.92                                                4,700   39,308.92  Dundee Bancorp Inc Sub Vtg CLA
                              -------------             ------------  ------------- --------------- -------------  ----------  ----------
      TOTAL -                    15,800.000               168,862.42           0.00            0.00          0.00      15,800  168,862.42
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                                                        Market Street Trust Company
04-23-02                                         PURCHASE / SALE DETAIL HISTORY REPORT                                                                  PAGE 21
FC3.3                                            BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                  REMAINING   REMAINING
TYPE  TXN DATE TXN NUMBER            QUANTITY      PRICE   COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY  COST BASIS  DESCRIPTION
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      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM        AVERAGE          COST     PRICE    DATE   MARKET VALUE  UNREALIZED G/L
      PCM    DDBJF     Dundee Bancorp Sub Vtg A             15,800.000 SHRS       10.687    168,862.42     8.789 12-31-01    138,866.20    -29,996.22

PCM   DSCP       Datascope Corp
PUR   03-02-01     257109             500.000     37.560    18,780.00                                                    500   18,780.00 Datascope Corp Delaware
PUR   03-02-01     257110             100.000     37.560     3,756.00                                                    100    3,756.00 Datascope Corp Delaware
PUR   03-02-01     257111             100.000     37.560     3,756.00                                                    100    3,756.00 Datascope Corp Delaware
PUR   03-02-01     257112             100.000     37.560     3,756.00                                                    100    3,756.00 Datascope Corp Delaware
PUR   03-02-01     257113             600.000     37.560    22,536.00                                                    600   22,536.00 Datascope Corp Delaware
PUR   03-02-01     257114             100.000     37.560     3,756.00                                                    100    3,756.00 Datascope Corp Delaware
PUR   03-02-01     257115           4,000.000     37.560   150,240.00                                                  4,000  150,240.00 Datascope Corp Delaware
PUR   03-02-01     257116             200.000     37.560     7,512.00                                                    200    7,512.00 Datascope Corp Delaware
                                 ------------             -----------  ------------  --------------  ------------  ---------- -----------
      TOTAL -                       5,700.000              214,092.00          0.00            0.00          0.00      5,700  214,092.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM        AVERAGE          COST     PRICE    DATE   MARKET VALUE  UNREALIZED G/L
      PCM    DSCP      Datascope Corp                        5,700.000 SHRS       37.560    214,092.00    33.920 12-31-01    193,344.00    -20,748.00

PCM   DSS        Quantum Corp-DSSG
PUR   03-02-01     257079          32,200.000     13.187   424,605.30                                                 32,200  424,605.30 Quantum Corp-DSSG
PUR   06-06-01     268838           4,700.000     12.100    57,152.00                                                  4,700   57,152.00 Quantum Corp-DSSG
PUR   06-07-01     268837           5,000.000     11.698    58,790.00                                                  5,000   58,790.00 Quantum Corp-DSSG
PUR   10-23-01     282515          14,900.000      8.700   130,524.00                                                 14,900  130,524.00 Quantum Corp 08.70
                                 ------------             -----------  ------------  --------------  ------------  ---------- -----------
      TOTAL -                      56,800.000              671,071.30          0.00            0.00          0.00     56,800  671,071.30

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                           QUANTITY UOM        AVERAGE          COST     PRICE    DATE   MARKET VALUE  UNREALIZED G/L
      PCM    DSS       Quantum Corp-DSSG                    81,100.000 SHRS       11.064    897,281.32     9.850 12-31-01    559,480.00   -337,801.32

PCM   ELRC       Electro Rent Corp
PUR   03-02-01     257099           1,000.000     13.560    13,560.00                                                  1,000   13,560.00 Electro Rent Corp
PUR   03-02-01     257100           1,000.000     13.560    13,560.00                                                  1,000   13,560.00 Electro Rent Corp
PUR   03-02-01     257101           8,800.000     13.560   119,328.00                                                  8,800  119,328.00 Electro Rent Corp
PUR   03-02-01     257102           4,300.000     13.560    58,308.00                                                  4,300   58,308.00 Electro Rent Corp
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                                                                       Market Street Trust Company
04-23-02                                                          PURCHASE / SALE DETAIL HISTORY REPORT                                                      PAGE 22
PC3.3                                                             BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER           QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS  QUANTITY    COST BASIS  DESCRIPTION
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      TOTAL -                    15,100.000              204,756.00          0.00            0.00          0.00      15,100   204,756.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                    QUANTITY UOM      AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PCM    ELRC       Electro Rent Corp                          15,100.000 SHRS      13.560     204,756.00     12.890  12-31-01     194,639.00      -10,117.00

PCM    ELY         Callaway Golf Company
PUR   06-12-01     269784        23,700.000    15.803     375,948.36                                                       23,700   375,948.36  Callaway Golf Co
                              ----------------          ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                    23,700.000              375,948.36          0.00            0.00          0.00      23,700   375,948.36

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                    QUANTITY UOM      AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PCM    ELY        Callaway Golf Company                      23,700.000 SHRS      15.863     375,948.36     19.150  12-31-01     453,855.00       77,906.64

PCM    FCEA        Forest City Enterprises CL A
PUR   03-08-01     257097         4,000.000    42.749     171,236.00                                                        6,000   171,236.00  Forest City Enterprises CL A
PUR   03-09-01     257098         3,100.000    42.984     133,436.09                                                        4,650   133,436.09  Forest City Enterprises CL A
SPLDV 11-15-01     284836         3,550.000                     0.00                                                            0         0.00  Forest City 3 for 2 split
                              ----------------          ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                    10,650.000              304,672.09          0.00            0.00          0.00      10,650   304,672.09

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                    QUANTITY UOM      AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PCM    FCEA       Forest City Enterprises CL A               10,650.000 SHRS      28.608     304,672.09     38.700  12-31-01     412,155.00      107,482.91

PCM    FFFLD       Fidelity Bankshares Inc
PUR   06-14-01     269758        15,000.000    13.800     207,900.00                                                       15,000   207,900.00  Fidelity Bankshares Inc
PUR   06-15-01     269763        18,800.000    13.650     257,748.00                                                       18,800   257,748.00  Fidelity Bankshares Inc
                              ----------------          ------------- ------------- --------------- ------------- ----------- ------------
      TOTAL -                    33,800.000              465,648.00          0.00            0.00          0.00      33,800   465,648.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                                    QUANTITY UOM      AVERAGE           COST      PRICE    DATE     MARKET VALUE  UNREALIZED G/L
      PCM    FFFLD      Fidelity Bankshares Inc                    33,800.000 SHRS      13.777     465,648.00     15.970  12-31-01     539,786.00       74,138.00

PCM    FVH         Fahnestock Viner Holdings
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04-23-02                                                              Market Street Trust Company
PC3.3                                                            PURCHASE / SALE DETAIL HISTORY REPORT
                                                                BOOK BASIS  -  FROM 01-01-01 TO 12-31-01                                                          PAGE 23

ENTITY INVESTMENT DESCRIPTION
                                                                                                           REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS   QUANTITY   COST BASIS  DESCRIPTION
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PUR   03-02-01     257081         4,000.000    23.761     95,290.00                                                     4,000     95,290.00  Fahnestock Viner Holdings CL
PUR   03-08-01     257193         1,100.000    25.250     27,841.00                                                     1,100     27,841.00  Fahnestock Viner Holdings
PUR   04-18-01     263907         3,000.000    26.726     80,358.00                                                     3,000     80,358.00  Fahnestock Viner Holdings In
                            -------------           -------------  ------------- ------------- ------------- ----------- ------------
      TOTAL -                     8,100.000                203,489.00           0.00          0.00          0.00         8,100    203,489.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PCM    FVH       Fahnestock Viner Holdings            8,100.000 SHRS     25.122     203,489.00     28.300  12-31-01      229,230.00       25,741.00

PCM    GCI        Gannett
PUR   03-09-01      257086         4,800.000    61.187    293,842.56                                                     4,800    293,842.56  Gannett Company
PUR   06-15-01      269764         1,700.000    61.100    103,972.00                                                     1,700    103,972.00  Gannett Company
                            -------------           -------------  ------------- ------------- ------------- ----------- ------------
      TOTAL -                     6,500.000                397,814.56           0.00          0.00          0.00         6,500    397,814.56

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PCM    GCI       Gannett                              6,500.000 SHRS     61.202     397,814.56     67.230  12-31-01      436,995.00       39,180.44

PCM    GDW        Golden West Financial Corp
PUR   11-01-01      284147        10,500.000    47.250    496,755.00                                                    10,500    496,755.00  Golden West Financial Corp
                            -------------           -------------  ------------- ------------- ------------- ----------- ------------
      TOTAL -                    10,500.000                496,755.00           0.00          0.00          0.00        10,500    496,755.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                          QUANTITY UOM      AVERAGE           COST      PRICE   DATE       MARKET VALUE  UNREALIZED G/L
      PCM    GDW       Golden West Financial Corp          10,500.000 SHRS     47.310     496,755.00     58.850  12-31-01      617,925.00      121,170.00

PCM    IBC        Interstate Bakeries Corp
PUR   03-08-01      257084        12,400.000    16.700    207,824.00                                                    12,400    207,824.00  Interstate Bakery Corp
PUR   04-05-01      263124         7,400.000    14.840    110,260.00                                                     7,400    110,260.00  Interstate Bakeries Corp
PUR   04-18-01      263908         3,200.000    14.240     45,760.00                                                     3,200     45,760.00  Interstate Bakeries Corp Del
PUR   06-06-01      268833         4,000.000    15.098     60,620.00                                                     4,000     60,620.00  Interstate Bakeries Corp
PUR   06-07-01      268836         4,000.000    15.048     60,430.00                                                     4,000     60,430.00  Interstate Bakeries Corp
                            -------------           -------------  ------------- ------------- ------------- ----------- ------------
      TOTAL -                    31,000.000                484,894.00           0.00          0.00          0.00        31,000    484,894.00
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                                                                                      Market Street Trust Company
04-21-02                                                                      PURCHASE / SALE DETAIL HISTORY REPORT                                                  PAGE 24
PC3.J                                                                         BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY       PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS NET GAIN/LOSS   QUANTITY     COST BASIS  DESCRIPTION
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     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE           COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
     PCM    IBC        Interstate Bakeries Corp                31,000.000 SHRS      15.642      484,894.00     24.180  12-31-01      749,580.00      264,686.00

PCM   IGT       International Game Technology
PUR   09-20-01     278930          10,600.000    38.633    409,504.50                                                     10,600    409,504.50  International Game Technology
PUR   09-25-01     278932           6,000.000    41.076    246,456.60                                                      6,000    246,456.60  International Game Technology
                              ---------------            ------------  ------------  -------------  -------------  -----------  ------------
     TOTAL -                       16,600.000              655,961.10          0.00           0.00           0.00       16,600    655,961.10

     CURRENT HOLDINGS -
     ENTITY INVESTMENT DESCRIPTION                                QUANTITY UOM      AVERAGE           COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
     PCM    IGT        International Game Technology           18,800.000 SHRS      41.682      783,625.34     60.300  12-31-01    1,133,780.00      350,154.66

PCM   ~JPMSWEEP  J P Morgan Money Market Sweep
PUR   03-01-01     257068      20,000,000.000     1.000 20,000,000.00                                                          0          0.00. Tfr of JPM funds from Longleaf
SAL   03-12-01     257073      -4,521,464.720     1.000                4,521,464.72  -4,521,464.72           0.00                             Prime Money Market Sweep Fund
SAL   03-13-01     257074      -3,292,939.630     1.000                3,292,939.63  -3,292,939.63           0.00                             Prime Money Market Sweep Fund
SAL   03-14-01     257075        -438,469.460     1.000                  438,469.46    -438,469.46           0.00                             Prime Money Market Sweep Fund
PUR   03-15-01     257076       2,190,100.830     1.000  2,190,100.[illegible]                                                   0          0.00  Prime Money Market Sweep Fund
SAL   03-19-01     257203         -27,841.000     1.000                   27,841.00      -27,841.00           0.00                             Prime Money market Sweep Fund
SAL   03-21-01     257204        -326,306.080     1.000                  326,306.08     -326,306.08           0.00                             Prime Money market Sweep Fund
SAL   03-22-01     257205        -200,931.750     1.000                  200,931.75     -200,931.75           0.00                             Prime Money market Sweep Fund
SAL   03-27-01     259182      -1,544,292.580     1.000                1,544,292.58  -1,544,292.58           0.00                             Prime Money Market Sweep Fund
PUR   04-03-01     263117       1,390,088.000     1.000  1,390,088.00                                                    177,393    177,392.89  Prime Money Market Sweep Fund
PUR   04-04-01     263118          40,000.000     1.000     40,000.00                                                     40,000     40,000.00  Prime Money Market Sweep Fund
SAL   04-10-01     263119        -368,227.190     1.000                  368,227.19     -368,227.19           0.00                             Prime Money Market Sweep Fund
SAL   04-11-01     263120      -1,375,931.380     1.000                1,375,931.38  -1,375,931.38           0.00                             Prime Money Market Sweep Fund
SAL    4-18-01     263121            -166.750     1.000                      166.75        -166.75           0.00                             Prime Money Market Sweep Fund
SAL   04-20-01     263898         -13,924.470     1.000                   13,924.47      -13,924.47           0.00                             Prime Money Market Sweep Fund
SAL   04-23-01     263900        -885,962.690     1.000                  885,962.69     -885,962.69           0.00                             Prime Money Market Sweep Fund
SAL   04-24-01     263905        -746,864.000     1.000                  746,864.00     -746,864.00           0.00                             Prime Money Market Sweep Fund
SAL   04-25-01     263901         -35,715.000     1.000                   35,715.00      -35,715.00           0.00                             Prime Money Market Sweep Fund
SAL   05-01-01     266434         -11,025.460     1.000                   11,025.46      -11,025.46           0.00                             Prime Money Market Sweep Fund
SAL   05-03-01     266435             -43.000     1.000                       43.00         -43.00           0.00                             Prime Money Market Sweep Fund
SAL   06-08-01     266436        -290,503.380     1.000                  290,503.38     -290,503.38           0.00                             Prime Money Market Sweep Fund
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04-23-02
FC3.3

Market Street Trust Company
PURCHASE / SALE DETAIL HISTORY REPORT
BOOK BASIS - FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION TYPE	TXN DATE	TXN NUMBER	QUANTITY	PRICE	COST BASIS	SALE PROCEEDS	SALE COST BASIS	MKT GAIN/LOSS	REMAINING QUANTITY	REMAINING COST BASIS	DESCRIPTION
PUR	05-16-01	266433	56,359.170	1.000	56,359.17				56,359	56,359.17	Prime Money Market Sweep Fund
SAL	05-17-01	266438	-166,300.000	1.000		166,300.00	-166,300.00	0.00			Prime Money Market Sweep Fund
PUR	06-01-01	268832	957,275.010	1.000	957,275.01				957,275	957,275.01	Prime Money Market Sweep Fund
SAL	06-04-01	268839	-690,744.040	1.000		690,744.04	-690,744.04	0.00			Prime Money Market Sweep Fund
SAL	06-11-01	268840	-177,354.000	1.000		177,354.00	-177,354.00	0.00			Prime Money Market Sweep Fund
SAL	06-12-01	268841	-189,340.000	1.000		189,340.00	-189,340.00	0.00			Prime Money Market Sweep Fund
SAL	06-15-01	269750	-742,347.040	1.000		742,347.04	-742,347.04	0.00			Prime Money Market Sweep Fund
SAL	06-18-01	269751	-147,631.900	1.000		147,631.90	-147,631.90	0.00			Prime Money Market Sweep Fund
SAL	06-19-01	269752	-1,699,708.880	1.000		1,699,708.88	-1,699,708.88	0.00			Prime Money Market Sweep Fund
SAL	06-20-01	269753	-621,200.000	1.000		621,200.00	-621,200.00	0.00			Prime Money Market Sweep Fund
SAL	06-26-01	270816	-60,200.000	1.000		60,200.00	-60,200.00	0.00			Prime MM Sweep Fund
SAL	06-27-01	270537	-109,597.110	1.000		109,597.11	-109,597.11	0.00			Prime MM Sweep Fund
SAL	07-02-01	272622	-213,248.000	1.000		213,248.00	-213,248.00	0.00			Prime MM Sweep Fund
PUR	07-03-01	272621	49,500.000	1.000	49,500.00				49,500	49,500.00	Prime MM Sweep Fund
SAL	07-06-01	272623	-340,446.910	1.000		340,446.91	-340,446.91	0.00			Prime MM Sweep Fund
SAL	07-18-01	273030	-166.750	1.000		166.75	-166.75	0.00			Prime MM Sweep Fund
SAL	07-25-01	273424	-125,160.000	1.000		125,160.00	-125,160.00	0.00			Prime MM Sweep Fund
SAL	07-27-01	273687	-40,400.080	1.000		40,400.08	-40,400.08	0.00			Prime MM Sweep Fund
SAL	08-01-01	274781	-100,000.000	1.000		100,000.00	-100,000.00	0.00			Prime MM Sweep Fund
PUR	08-09-01	274750	442,282.200	1.000	442,282.20				442,282	442,282.20	Prime MM Sweep Fund
SAL	08-22-01	276894	-244,923.600	1.000		244,923.60	-244,923.60	0.00			Prime MM Sweep Fund
SAL	08-23-01	276895	-241,870.000	1.000		241,870.00	-241,870.00	0.00			Prime MM Sweep Fund
SAL	08-24-01	275886	-133,300.000	1.000		133,300.00	-133,300.00	0.00			Prime MM Sweep Fund
PUR	09-05-01	278098	307,000.000	1.000	307,000.00				307,000	307,000.00	Prime MM Sweep Fund
SAL	09-12-01	278100	-24,750.000	1.000		24,750.00	-24,750.00	0.00			Prime MM Sweep Fund
SAL	09-25-01	278934	-409,504.500	1.000		409,504.50	-409,504.50	0.00			Prime MM Sweep Fund
SAL	09-28-01	278935	-480,879.600	1.000		480,879.60	-480,879.60	0.00			Prime MM Sweep Fund
SAL	10-01-01	280975	-286,673.760	1.000		286,673.76	-286,673.76	0.00			Prime MM Sweep Fund
PUR	10-02-01	280973	962,074.200	1.000	962,074.20				962,074	962,074.20	Prime MM Sweep Fund
SAL	10-11-01	280977	-59,368.500	1.000		59,368.50	-59,368.50	0.00			Prime MM Sweep Fund
SAL	10-18-01	282657	-166.750	1.000		166.75	-166.75	0.00			Prime MM Sweep Fund
SAL	10-25-01	283184	-67,321.350	1.000		67,321.35	-67,321.35	0.00			Prime MM Sweep Fund
SAL	10-26-01	283516	-130,524.000	1.000		130,524.00	-130,524.00	0.00			Prime MM Sweep Fund
PUR	11-02-01	284143	1,036,110.000	1.000	1,036,110.00				1,036,110	1,036,110.00	Prime MM Sweep Fund
SAL	11-06-01	284144	-1,670,763.590	1.000		1,670,763.59	-1,670,763.59	0.00			Prime MM Sweep Fund
SAL	11-07-01	284145	-37,047.040	1.000		37,047.04	-37,047.04	0.00			Prime MM Sweep Fund
PUR	11-14-01	284824	115,522.450	1.000	115,522.45				115,522	115,522.45	Prime MM Sweep Fund

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04-23-02                                                                              Market Street Trust Company
FC3.3                                                                           PURCHASE / SALE DETAIL HISTORY REPORT                                                               PAGE 26
                                                                                BOOK BASIS  .  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION .                                                                                                 REMAINING      REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS    QUANTITY     COST BASIS  DESCRIPTION
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PUR   12-03-01      287131        1,142,916.000     1.000  1,142,916.00                                                 1,142,916   1,142,916.00  Prime MM Sweep Fund
SAL   12-28-01      288648         -119,250.000     1.000                  119,250.00     -119,250.00          0.00                               JPM Prime MM Sweep Fund
                              ----------------            ------------- ------------- --------------- -------------  ------------ --------------
      TOTAL -                     5,286,431.920           28,697,227.86 23,410,795.94  -23,410,795.94          0.00     5,286,432   5,286,431.92

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE            COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      PCM    JPMSWEEP   J P Morgan Money Market Sweep      3,163,100.470 UNTS        1.000    3,163,100.47       1.000  12-31-01    5,286,431.92     2,123,331.45

PCM   JWA        John Wiley & Sons Inc Cl A
PUR   04-18-01      263910           11,000.000    19.844    218,947.30                                                    11,000     218,947.30  John Wiley & Sons Inc Cl A
                              ----------------            ------------- ------------- --------------- -------------  ------------ --------------
      TOTAL -                        11,000.000              218,947.30          0.00            0.00          0.00        11,000     218,947.30

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE            COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      PCM    JWA        John Wiley & Sons Inc Cl A            11,000.000 SHRS       19.904      218,947.30      23.030  12-31-01      253,330.00        34,382.70

PCM   KRI        Knight Ridder Inc
PUR   03-21-01      259185            4,600.000    52.680    242,604.92                                                     4,600     242,604.92  Knight Ridder Inc
                              ----------------            ------------- ------------- --------------- -------------  ------------ --------------
      TOTAL -                         4,600.000              242,604.92          0.00            0.00          0.00         4,600     242,604.92

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                            QUANTITY UOM        AVERAGE            COST       PRICE   DATE        MARKET VALUE   UNREALIZED G/L
      PCM    KRI        Knight Ridder Inc                      4,600.000 SHRS       52.740      242,604.92      64.930  12-31-01      298,678.00        56,073.08

PCM   LAWS       Lawson Products Inc
PUR   04-19-01      263933            1,000.000    28.600     28,660.00                                                     1,000      28,660.00  Lawson Products Inc
PUR   04-19-01      263934            1,000.000    28.600     28,660.00                                                     1,000      28,660.00  Lawson Products Inc
PUR   04-19-01      263935            1,000.000    28.600     28,660.00                                                     1,000      28,660.00  Lawson Products Inc
PUR   04-19-01      263936              900.000    28.600     25,794.00                                                       900      25,794.00  Lawson Products Inc
PUR   04-19-01      263937              500.000    28.600     14,330.00                                                       500      14,330.00  Lawson Products Inc
PUR   04-19-01      263938              100.000    28.590      2,865.00                                                       100       2,865.00  Lawson Products Inc
PUR   04-19-01      263939              300.000    28.600      8,598.00                                                       300       8,598.00  Lawson Products Inc
PUR   04-19-01      263940              500.000    28.600     14,330.00                                                       500      14,330.00  Lawson Products Inc
PUR   04-19-01      263941            1,000.000    28.590     28,650.00                                                     1,000      28,650.00  Lawson Products Inc
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04-23-02                                                                    Market Street Trust Company
FC3.3                                                                 PURCHASE / SALE DETAIL HISTORY REPORT                                                   PAGE 27
                                                                      BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                       REMAINING    REMAINING
TYPE  TXN DATE TXN NUMBER         QUANTITY     PRICE    COST BASIS  SALE PROCEEDS SALE COST BASIS MKT GAIN/LOSS      QUANTITY   COST BASIS  DESCRIPTION
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PUR   04-19-01     263942        1,000.000    28.600     28,660.00                                                     1,000    28,660.00  Lawson Products Inc
                             -------------           ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                    7,300.000              209,207.00          0.00            0.00          0.00         7,300   209,207.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE          COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PCM    LAWS        Lawson Products inc        7,300.000 SHRS        28.654    209,207.00     26.000  12-31-01      189,800.00       -19,407.00

PCM   MCS         Marcus Corp
PUR   06-15-01     269765        5,000.000    14.589     73,243.00                                                     5,000    73,243.00  Marcus Corp
PUR   06-21-01     270534        4,000.000    14.990     60,200.00                                                     4,000    60,200.00  Marcus Corp @14.99
PUR   06-22-01     270535        7,200.000    14.524    105,003.36                                                     7,200   105,003.36  Marcus Corp @14.5238
PUR   11-01-01     284148       16,200.000    12.968    211,051.98                                                    16,200   211,051.98  Marcus Corp @12.9679
                             -------------           ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                   32,400.000              449,498.34          0.00            0.00          0.00        32,400   449,498.34

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE          COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PCM    MCS         Marcus Corp               32,400.000 SHRS        13.873    449,498.34     14.150  12-31-01      458,460.00         8,961.66

PCM   MENT        Mentor Graphics Corp
PUR   06-27-01     270684       12,800.000    16.600    213,248.00                                                    12,800   213,248.00  Mentor Graphics Corp @16.60
PUR   09-07-01     278099        1,500.000    16.500     24,750.00                                                     1,500    24,750.00  Mentor Graphics Corp @16.50
PUR   09-27-01     279055        8,500.000    13.750    117,385.00                                                     8,500   117,385.00  Mentor Graphics Corp @13.75
                             -------------           ------------- ------------- --------------- -------------  ------------ ------------
      TOTAL -                   22,800.000              355,383.00          0.00            0.00          0.00        22,800   355,383.00

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                   QUANTITY UOM       AVERAGE          COST      PRICE    DATE      MARKET VALUE   UNREALIZED G/L
      PCM    MENT        Mentor Graphics Corp      22,800.000 SHRS        15.587    355,383.00     23.570  12-31-01      537,396.00       182,013.00

PCM   MLHR        Miller Herman
PUR   04-06-01     263184          100.000    24.125      2,412.50                                                       100     2,412.50  Herman Miller Inc
PUR   04-06-01     263186        5,000.000    24.125    120,626.00                                                     5,000   120,625.00  Herman Miller Inc
PUR   04-06-01     263188          700.000    24.125     16,887.50                                                       700    16,887.50  Herman Miller Inc
PUR   04-06-01     263190          100.000    24.125      2,412.50                                                       100     2,412.50  Herman Miller Inc
PUR   04-06-01     263191          700.000    24.125     16,887.50                                                       700    16,887.50  Herman Miller Inc
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04-23-02                                                              Market Street Trust Company                                                          PAGE [illegible]
FC3.3                                                          PURCHASE / SALE DETAIL HISTORY REPORT
                                                               BOOK BASIS  -  FROM 01-01-01 TO 12-31-01

ENTITY INVESTMENT DESCRIPTION                                                                                    REMAINING     REMAINING
TYPE  TXN DATE TXN NUMBER          QUANTITY      PRICE     COST BASIS SALE PROCEEDS SALE COST BASIS MRT GAIN/LOSS   QUANTITY    COST BASIS DESCRIPTION
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PUR   04-06-01     263193         1,300.000     24.125      31,362.50                                                 1,300     31,362.50 Herman Miller Inc
PUR   04-06-01     263194           600.000     24.125      14,475.00                                                   600     14,475.00 Herman Miller Inc
                             --------------            -------------- ------------- --------------- ------------- ---------- -------------
      TOTAL -                     8,500.000                205,062.50          0.00            0.00          0.00      8,500    205,062.50

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      PCM    MLHR      Miller Herman                    8,500.000 SHRS      24.126      205,062.50    23.660 12-31-01    201,110.00       -3,952.50

PCM   MNI        McClatchy Company
PUR   03-21-01     259188         6,000.000     38.329     230,332.20                                                 6,000    230,332.20 McClatchy Co Cl A
PUR   05-30-01     267525         5,600.000     39.900     223,776.00                                                 5,600    223,776.00 McClatchy Co CL A @39.90
PUR   06-13-01     269756         3,800.000     38.791     147,631.90                                                 3,800    147,631.90 McClatchy Co CL A
                             --------------            -------------- ------------- --------------- ------------- ---------- -------------
      TOTAL -                    15,400.000                601,740.10          0.00            0.00          0.00     15,400    601,740.10

      CURRENT HOLDINGS -
      ENTITY INVESTMENT DESCRIPTION                      QUANTITY UOM      AVERAGE          COST      PRICE  DATE        MARKET VALUE  UNREALIZED G/L
      PCM    MNI       McClatchy Company               15,400.000 SHRS      39.074      601,740.10    47.000 12-31-01    723,800.00      122,059.90

PCM   MRBK       Mercantile Bankshares Corp
PUR   04-06-01     263162           100.000     37.125       3,742.50                                                   100      3,742.50 Mercantile Bankshares Corp
PUR   04-06-01     263163           300.000     37.063      11,208.75                                                   300     11,208.75 Mercantile Bankshares Corp
PUR   04-06-01     263164         1,000.000     37.063      37,362.50                                                 1,000     37,362.50 Mercantile Bankshares Corp
PUR   04-06-01     263165           100.000     37.188       3,748.75                                                   100      3,748.75 Mercantile Bankshares Corp
PUR   04-06-01     263166           100.000     37.063       3,736.25                                                   100      3,736.25 Mercantile Bankshares Corp
PUR   04-06-01     263167           100.000     36.938       3,723.75                                                   100      3,723.75 Mercantile Bankshares Corp
PUR   04-06-01     263168           100.000     37.250       3,755.00                                                   100      3,755.00 Mercantile Bankshares Corp
PUR   04-06-01     263169           100.000     37.188       3,748.75                                                   100      3,748.75 Mercantile Bankshares Corp
PUR   04-06-01     263170         1,000.000     37.188      37,487.50                                                 1,000     37,487.50 Mercantile Bankshares Corp
PUR   04-06-01     263171           100.000     37.250       3,755.00                                                   100      3,755.00 Mercantile Bankshares Corp
PUR   04-06-01     263172           100.000     37.188       3,748.75                                                   100      3,748.75 Mercantile Bankshares Corp
PUR   04-06-01     263173           300.000     37.063      11,208.75                                                   300     11,208.75 Mercantile Bankshares Corp
PUR   04-06-01     263174           100.000     37.188       3,748.75                                                   100      3,748.75 Mercantile Bankshares Corp
PUR   04-06-01     263175           100.000     37.063       3,736.25                                                   100      3,736.25 Mercantile Bankshares Corp
PUR   04-06-01     263176           200.000     37.063       7,472.50                                                   200      7,472.50 Mercantile Bankshares Corp
PUR   04-06-01     263177           700.000     37.188      26,241.25                                                   700     26,241.25 Mercantile Bankshares Corp
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